LOCAL GOVERNMENT COOP TEMPLATE

For (Locality)

Insert Locality Seal or Logo

DATE, VERSION [ ]

TEMPLATE STRUCTURE AND INSTRUCTIONS

The Virginia Department of Emergency Management (VDEM) developed this template to assist local governments in developing and maintaining continuity of operations (COOP) programs, plans, and systems. It supports a whole community process in developing an all hazards plan, which is scalable and flexible.

It provides instructions, guidance, and sample text to support the development of local government Continuity Plans and programs. Each section of the template includes *instructions and* sample verbiage.

- Local government applies to cities, counties, and towns with independent emergency management programs**,** but other entities may use this template as well and adapt it to their needs.

- The template includes sample text that the planning team may revise as applicable to the local government.

- The template includes tables with instructions for incorporating the local data and including in the plan.

- There are charts, checklists or other tools that can be incorporated into your document

- Insert page numbers on the headers or footers and number appendices to reflect the appendix number.

Apply *(locality)* seals or logos to customize the template and replace *(locality)* with the actual name of the locality.

Finally, please add acronyms and definitions into the glossary that reflect the relevant terms used by the locality and its agencies or departments.

SECURITY AND PRIVACY STATEMENT

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This security and privacy statement, along with the FOIA exemption statement on the cover page of this template, is optional. Each locality determines if both should be included based on an analysis of the type of information in their Continuity Plan. Each Locality should consult the local attorney to determine if their plan is exempt from the Freedom of Information Act (FOIA) pursuant to §2.2-3705.2 of the Code of Virginia.

Sample text for this section is below:

Public disclosure of this document would have a reasonable likelihood of threatening public safety by exposing vulnerabilities. It contains sensitive and confidential information that is not subject to FOIA under Virginia Code §2.2-3705.2. Accordingly, **(Locality)** withholds this plan from full public disclosure. Refer any request for a copy of this document to **(Local Attorney of the Locality or designated staff)**.

TABLE OF CONTENTS

PROMULGATION STATEMENT

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This letter, when signed by the head of the organization, serves as a formal authorization of, and introduction to, the plan and its purpose. It gives the plan official status, and the organization authority and responsibility to perform their tasks*.*

Include the mission statement of the organization and summarize the scope and purpose of developing a continuity plan (what the plan is, whom it affects and describes circumstances that lead to plan implementation).

[Locality's] mission is to *[enter mission statement]*.

To accomplish this mission, the locality must ensure it has the ability to perform essential functions efficiently and with minimal disruption, especially during an emergency. This document provides guidance for implementing the Continuity Plan and program to ensure locality performs its essential missions and functions under all threats and conditions.

I hereby appoint *(insert the employee position title)* to serve as the Continuity Coordinator for *(Locality).* This position shall assume the identified responsibilities outlined in the Continuity Plan and possess the authority necessary to carry out the duties delineated in this plan. The local government administrator appoints a reconstitution manager, who has the authorities and responsibilities described herein. This promulgation shall also serve as official approval of the Orders of Succession and Delegations of Authority outlined herein.

_____

(Signature of Authorized local government official)

_____

(Date)

RECORD OF CHANGES

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Document changes to the Continuity Plan between official promulgations 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. Include a new Record of Changes table when the each time the plan is re-promulgated.

Submit recommended changes to this document to (*name of continuity coordinator*) of (*locality*)

Table 1
Record of Changes

Change Number	Section and/or Page Number	Description of Change	Date of Change	Posted By
1	Page 11	Updated Orders of Succession	01/02/20	P. Smith

PUBLICATION AND DISSEMINATION

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The publication and dissemination phase of the continuity planning process incudes publishing the plan and presenting it to appropriate agency personnel, including executive leadership and key personnel. Non-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 discretion of the continuity coordinator. Contractors who perform or support performance of MEFs may receive a copy of the plan or sections that are relevant to their duties. In these instances, the local government may require the contract staff to sign a Non-Disclosure Agreement.

Publication of this plan should be consistent with the agency's decision regarding its availability under FOIA.

The Continuity Coordinator will distribute the plan to executive leadership and key personnel within the (locality) and to others as deemed appropriate.

Table 2

Continuity Plan Distribution List

Name	Title	Agency/department	Date Issued	Date Returned	Number of Copies
John Doe	IT Director	IT Division	01/02/2020		1

BASIC PLAN

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The Basic Plan provides an overview of the local government's approach to continuity. It describes continuity and local government policies, and assigns tasks the policies, describes the agencies/departments and assigns tasks. The plan elements

The purpose of this Continuity Plan is to provide the framework for the *(locality)* to continue or quickly restore its ability to perform MEFs. Locality must continue to perform MEFs or resumed rapidly after a disruption of normal activities.

 (Locality) is aware of how various events can disrupt operations and jeopardize the ability to perform essential functions (EFs). The *(locality)* must continue to perform the EFs during a disruption of normal activities or quickly restore the ability to perform them. As such, (*Locality*) has adopted an all-hazards approach to continuity planning to ensure that regardless of the event, the local government will continue to operate and/or provide MEFs in some capacity. This approach includes preparing for natural or technological hazards.

PURPOSE

The section explains why the agency is developing a Continuity Plan. It explains the overall purpose of continuity planning and the disruptions it addresses. Refer to the sample text below.

The purpose of this Continuity Plan is to provide the framework for **(locality)** to continue or rapidly restore MEFs in the event of an emergency that affects operations. This document establishes the **(locality's)**'s Continuity Program procedures for addressing three types of extended disruptions that could occur individually or in any combination:

- Loss of access to a facility or portion of a facility (as in a building fire);

- Loss of services due to equipment or systems failure (as in telephone, electrical power, or information technology system failures); and

- Loss of services due to a reduced workforce (as in pandemic influenza, incidents in which employees are victims or incidents that prohibit employees from reporting to the workplace).

This plan details procedures for implementing actions to continue the following MEFs:

- *(Insert locality approved EFs in bullet format here. More information on MEF identification is on page 24 of this template.*

This Continuity Plan is a recovery plan and functions as a companion plan to the *([Locality's] Disaster Recovery Plan and the Emergency Operations Plan.* The Continuity Plan provides a framework designed to minimize potential impact to operations and allow for rapid recovery from an event, which may or may not cause the activation of emergency response or incident action plans.

SCOPE AND APPLICABILITY

This section describes the local government elements (e.g., agency/departments, locations) covered by the plan and the times during which the plan is in effect. Facilities and agencies branch offices or departments (subordinate agencies) located off-site from the main administration office(s) may have independent continuity plans. However, any MEFs performed at those off site locations should be included in the agency's comprehensive continuity plan. Use the verbiage supplied below or insert language developed internally.

This plan applies to the operations and resources necessary to ensure the continuation of the *(locality's)* EFs. This plan applies to personnel in each department with assigned roles and responsibilities.

This Continuity Plan supports the performance of EFs from alternate locations, with a reduction in workforce, or during a loss of services resulting from equipment or systems failure. The Continuity Plan does not apply to temporary disruptions of service, including minor IT system or power outages or any other scenarios in which the jurisdiction quickly restores its ability to perform MEFs. This plan provides for the resumption of MEFs, continuity of management, and decision-making authority if senior leadership is unavailable. This Continuity Plan can be activated during duty and non-duty hours, and with or notice.

SITUATION OVERVIEW

This section addresses the situations that might affect and influence continuity planning scenarios, including, location of the local government, the local population, and other pertinent details. The situation identifies potential threats or hazards that could affect performance of MEFs. If the jurisdiction conducted a Business Impact Analysis (BIA) or identified potential hazards specific to each MEF, this information should be included in the plan. The next section includes examples of the type of information that should be included in this section. Please revise to reflect the situations specific to your locality.

The following situations could affect *(locality's)* continuity planning efforts:

- *(Locality)* is located in the *(region of the state and in VDEM Region [ ].* It is an urban environment, and has numerous acres of wetlands.

- Local government is home to approximately [number] citizens.

- The local government has most of its offices at the Courthouse Complex such as administration, human resources, operations, etc. There are approximately total personnel, in addition to [number] of contractors, and numerous visitors for a variety of functions and services on a daily basis.

- The number of employees and visitors on-site is greatly reduced if the majority of employees telework [on a particular designated] day

- There are railroad tracks and highways that carry hazardous materials and are in close proximity to the government complex.

- (*Agency/departments)* routinely perform certain functions at off-site locations, such as home visits or delivering presentations to groups at other public facilities

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 locality'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 locality and the planning environment.

This plan addresses the following assumptions:

- The (*locality*) considered its mission, statutory requirements, and emergency support function roles outlined in the Code of Virginia and applicable local codes and ordinances), and has identified MEFs and appropriate recovery time objectives (RTOs) to support these functions.

- The MEFs are susceptible to risks associated with natural and human caused hazards as identified in the local/regional Hazard Mitigation Plan.

- The (*locality*) acknowledges that its MEFs may be disrupted by: the loss of or access to a facility (or portion of the facility), the loss of services due to equipment or system failure, the loss of services due to a reduction in the workforce, or any combination thereof.

- A disruption of MEFs may occur during or after normal operating hours.

- The *(locality)* identified key personnel and alternates required for the implementation of this plan.

- The leadership of *(locality*) will exercise their authority to implement the Continuity Plan in a timely manner when confronted with events that disrupt the locality's MEFs.

- Executive leadership and key personnel may be required to relocate to an alternate facility during a continuity event.

- Equipment and software systems may become unavailable. Key personnel and alternates responsible for performing MEFs received training on manual workaround procedures.

- Leadership has been cross trained so that more than one executive or manager can perform their continuity responsibilities if called upon to do so;

- The OBJECTIVES will implement teleworking as an alternate work arrangement, if appropriate.

- In the event of an emergency, the locality may need to rely on services of other agencies and/or organizations for recovery.

- When properly implemented, this Continuity Plan will reduce or prevent disaster-related losses and allow for timely recovery operations.

OBJECTIVES

The local government derives objectives from its overall missions and those of the agencies/departments that make up the local government. The objectives should be specific, measurable, and relevant to the mission.

Revise or develop the following sample objectives in support of the local government's mission:

- Ensure that *(locality)* can perform its MEFs under all conditions.

- Ensure that *(locality)* can perform its MEFs within established recovery time objectives for a period of up to 30 days or until normal operations can be resumed.

- Provide for the safety and well-being of personnel, contractors, and visitors while enabling the locality to continue operations during any event or disruption to operations.

- Reduce or mitigate disruptions to operations.

- Minimize damage and loss to property, records, systems, and equipment.

- Achieve *(locality's)* timely and orderly recovery and reconstitution from an emergency.

- Ensure and validate continuity readiness through a dynamic and integrated continuity test, training, and exercise program.

ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

This section identifies key personnel and others (by position) and their responsibilities during continuity plan implementation. Use staff titles, rather than names, to identify continuity positions to reduce the need to update this portion of the plan due to personnel changes. The following table shows examples of some common continuity of operation implementation responsibilities. Please revise these examples to reflect your locality and staff.

Table 3
Continuity Implementation Responsibilities

Position	Responsibility
Local Government Administrator	• Provide strategic leadership and overarching policy direction for the Continuity Program. • Implement the Continuity Plan when necessary, or when directed to by a higher authority. • Consult with and advise appropriate officials during implementation of the Continuity Plan. • Oversee and coordinate activities between the Continuity Coordinator and Reconstitution Manager.
Local Governing Board	• Declare a local emergency
Director of Emergency Management	• Advise governing board of the status of the emergency
Local Government Attorney	• Review contracts and/or MOUs for alternate sites
Human Resource	• Develop guidance for human resources on issues that are specifically related to the Continuity Event • Develop policies for hiring additional staff

Position	Responsibility
	• Track work schedule/use of leave
Emergency Management Coordinator	• Create and update the locality's COOP plan • Conduct continuity awareness briefings (or other means of orientation) for all newly-hired personnel • Coordinate the implementation of the Continuity Plan and initiate appropriate notifications to internal and external contacts. Work closely with the Reconstitution Manager to ensure a smooth transition from continuity operations to reconstitution operations.
Key Personnel	• May be deployed to alternate site or place on telework status to establish an operational capability within the designated recovery time objective(RTO) • Support the performance of locality EFs in the event of a Continuity Plan implementation until normal operations are resumed • Ensure that family members have emergency plans.
Essential Records Manager	• Review status of essential records, files, and databases. • Provides for proper storage and protection of essential records.
Reconstitution Manager	• Coordinate and oversee the reconstitution process. • Ensure that the primary facility can support the performance of MEFs • Use a time-phased plan to restore functions to minimize downtime. • Work closely with the Continuity Coordinator to ensure a smooth transition from continuity operations to reconstitution operations.
Local Government Employees	• Monitor communications for guidance or instructions during the event. • Know and understand their roles in a continuity environment. • Ensure that family members have planned for emergency events.
Contractor and/or Vendor Support Staff)	• Monitor locality communications for guidance or instructions during the event. • Know and understand their roles in a continuity environment.

ORDERS OF SUCCESSION

Orders of Succession identify lines of succession for the organization head and key positions required to authorize and approve EFs and reconstitution, and to maintain financial and legal responsibilities.

Orders of succession should:

- *Designate at least three individuals, if possible to manage EFs and other critical operations.*
- *List successors in the order they would assume the role*
- *Identify successors by title rather than names, to reduce the amount of plan revisions*

Considerations for identifying positions for orders of succession:

- *Refer to by-laws, codes, ordinances, or internal policy to determine the orders of succession.*
- *Ensure input and coordination with the incumbent and the successors and match skill-sets and credentials for successors as much as possible to the incumbent.*
- *Prepare a delegation of authority for each position that requires legal documentation to enable successors to assume responsibilities*
- *Departments must establish, communicate, and maintain their orders of succession for management and leadership positions. Distribute revisions as changes occur.*

Complete Table 4 with the orders of succession using the following instructions:

1. *List the position title of the administrator, director, or manager or other incumbent (column 1).*
2. *List the method by which key personnel, staff, and interdependent agencies or organizations will be notified of change in leadership (column 2)*
3. *Identify the successors by title (columns 3-5)*

Effective leadership during an emergency requires identification of orders of succession in advance of an event. The Table 4 identifies successors to prevent a lapse in executive leadership if an incumbent is incapable or unavailable to fulfill his or her essential duties. Authority shall return to the original executive leader when he or she is capable of resuming essential duties, unless *(locality)* selects a permanent replacement. If a situation occurs that necessitates implementation

of the Orders of Succession, the (*locality*) notifies all parties involved using the means of communications in this plan.

Table 4
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

DELEGATIONS OF AUTHORITY

Delegations of authority identify by position, the formal or legal authority that allows individuals to make key policy decisions and/or perform specific functions. Types of Authority include statutory or signatory authorities.

Complete Table 5 using the following instructions:

1. *List the authority in column 1*

2. *Identify the position currently holding the authority in column 2*

3. *Identify the position that receives the authority in column 3*

4. *Identify condition(s) that trigger that require the delegation*

5. *Identify any limitations on the authority.*

Generally, pre-determined delegations of authority will take effect if an emergency disrupts normal operations are disrupted and terminate when normal operations resume. Table 5 includes an example of a delegation of authority are provided below.

Table 5
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

CONCEPT OF OPERATIONS

This section explains how the locality implements its Continuity Plan during an event that disrupts normal operations. This section includes four phases: preparedness, activation and notification, continuity operations, and reconstitution. This section should specifically state how the locality plans to address each continuity phase.

A continuity plan must be maintained at a high level of preparedness and be ready to be implemented without warning. As such, the *(locality)* has developed a concept of operations, which describes the implementation of the Continuity Plan.

Continuity Plan activation is a scenario-driven process that allows flexible, scalable response to all hazards/threats that might disrupt operations. Continuity Plan activation will not be required for all emergencies or disruptions.

This plan can be fully implemented within established recovery time objectives and capable of sustaining operations for up to 30 days or until normal operations can be resumed.

Phase 1- Preparedness

This phase includes preparedness activities. Agencies should only include those preparedness activities and systems that are applicable to their plan. Optional questions to consider when completing this section may include the items listed below. These questions provided the basis for locality preparedness.

- *Has the locality identified events or potential events that can adversely affect the locality's ability to continue to perform MEFs?*

- *Has the locality staff been properly cross-trained?*

- *Have personnel received proper training regarding their role in plan implementation?*

- *Has the locality established orders of succession at least three people deep?*

- *Has the locality adopted teleworking or other alternate work arrangements?*

- *Has the locality safeguarded essential records and systems and ensured they are accessible to staff in a teleworking scenario?*

- *Has the locality identified other processes (i.e. manual workaround procedures) to use if equipment or systems are unavailable?*

- *Does the locality have Memoranda of Understanding (MOUs) or Mutual Aid Agreements for utilization of alternate systems, equipment, or facilities?*

(Locality) participates in the full spectrum of readiness and preparedness activities to ensure the locality can continue to perform MEFs in an all-hazard risk environment. This is accomplished through various means, including the use of professional go-kits by key personnel, regular training and exercises of the Continuity Plan (outlined in the Training and Exercise Section of this document), the development of human capital management policies that support locality staff, and monitoring of government intelligence reports or notices by executive leadership.

Professional Go-kits

(Locality's) key personnel and executive leadership have the responsibility to create and maintain go-kits. Go-kits should include standard operating procedures, emergency plans, operating orders or regulations, and other relevant guidance. Other documents and materials that might be included in a go-kit include:

- Continuity Plan

- Current contact list of key personnel, external partners and vendors

- General office supplies

- Backup communication devices if available

- Manual work-around procedures for performing MEFs

- Compact discs or thumb drives

- Critical equipment inventory

- Directions to the alternate facility and a current floor plan

- Alternate facility contact information and/or keys or access cards

- *Identify other items that should be included in a go-kit*

Human Capital Management

(Locality's) key personnel should cross-train back-up personnel capable of performing MEFs. Frequency of cross training shall be at the discretion of the locality/department or section Manager, but should occur as often as necessary to ensure proficiency of MEF performance. Document cross training.

Teleworking may be an approved alternative method to perform some locality MEFs during a continuity event. Therefore, key personnel may telework during activation of the Continuity Plan at the discretion of the agency/department or division manager. Employees should follow teleworking policy and any additional guidance provided for the situation.

During activation of the Continuity Plan, the *(locality)* will attempt to contact and account for all locality staff. Additionally, the locality will provide human capital management guidance to employees (pay, leave, staffing, work expectations and other human resources policies) and assist the Continuity Coordinator with other staffing related matters.

Locality personnel should develop a family support plan to increase personal and family preparedness. *(Locality)* posts information on its website at *[insert link if available].* VDEM posts planning resources and suggestions for supplies on its website: https://www.vaemergency.gov/prepare/.

Phase 2- Activation and Notification

This section should explain continuity plan activation and notification procedures. The plan can include a checklist of procedures for notification of key personnel and others of the decision to implement the Continuity Plan, and provide guidance for key personnel and other staff. If notification procedures and processes are currently in place, insert them here. Some questions to consider when completing this section are:

- *Who is responsible for assessing the situation?*

- *Who is responsible for activating the plan?*

- *Who is responsible for notifying key personnel?*

- *What methods, protocols or procedures are available to contact key personnel both during and after normal work hours?*

- *Does the locality currently use notification software or systems to notify staff? (e.g., reverse 911, automated call tree, text message or others)*

- *Does locality regularly evaluate systems for sustainability and interdependencies?*

- *Identify how executive leadership and key personnel will acknowledge notification of Continuity plan activation.*

- *Identify by position, who is responsible for notifying and providing guidance to contractors, vendors, or interdependent agencies of the Continuity Plan activation?*

The following matrices serve as an implementation guides. It is important to note that while an effort has been made to outline implementation levels and notification guidelines in these matrices, **they are a guide only** and do not limit the ability of executive leadership to make decisions and take necessary actions in the event of an emergency.

Executive leadership will stay informed of the threat environment using all available means, including government intelligence reports or notices, national/local reporting channels, and media outlets. Executive leadership will make activation decisions after evaluating information from the following sources:

- Direction and guidance from higher authorities

- National Terrorism Advisory System (NTAS) alerts, instructions, and guidance or similar communication from state or local authorities, including local emergency management agencies.

- National Weather Service Alerts

- The health and safety of personnel

- The ability to execute EFs

- Intelligence reports

- The potential or actual effects on communication systems, information systems, office facilities, and other essential equipment

- The expected duration of the emergency situation

Modify the tables below to fit the locality.

Table 6
Activation Decision Matrix

Level of Emergency	Category	Potential Event	Impact on the Ability to Perform EFs	Decisions
I	Alert	An event with notice, such as a severe weather forecast to impact area; scheduled software upgrades to essential systems or essential equipment maintenance/upgrades.	An actual or anticipated event that might have an adverse impact on any portion of the locality, staff, or equipment/systems for a period of time that exceeds recovery time objectives, but does not require any specific response beyond what is normally available.	No Continuity Plan implementation required.
II	Stand-by	Coastal storm approaching the coastline where locality 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 minimal assistance beyond what is normally available.	Limited Continuity Plan implementation depending on individual department requirements.
III	Partial Implementation	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 EFs for more than the established recovery time objectives or 24 hours.	Partial Implementation of the Continuity Plan.
IV	Full Implementation	Gas line explosion has caused extensive structural damage to the facility, system or equipment failure expected to last for an extended period, public health emergency declared with significant staff impact.	An actual event that significantly disrupts the operations of multiple EFs for a period exceeding the EF recovery time objectives.	Full implementation of the Continuity Plan approved by the executive leadership.

Table 7
Activation Notification Matrix

Level of Emergency	Category	Executive Leadership Notifications	Continuity Coordinator Notifications
I	Alert	Impacted department alerts executive leadership of situation and requests assistance as applicable. Executive leadership notifies: – Locality headquarters of the alert, if a subordinate locality, and – Continuity Coordinator.	The Continuity Coordinator notifies: – Key personnel of the alert 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	Stand-by	Impacted department alerts executive leadership of situation and requests assistance as applicable. Executive leadership notifies: – Locality headquarters of the status, if a subordinate locality, and – Continuity Coordinator	The Continuity Coordinator notifies: – Key personnel are 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.
III	Partial Implementation	Impacted department alerts executive leadership of situation and requests assistance as applicable. Executive leadership notifies: – Locality headquarters of the partial implementation, if a subordinate locality, and – Continuity Coordinator.	The Continuity Coordinator notifies: – Key personnel and provides partial implementation instructions.
IV	Full Implementation	• Impacted department alerts executive leadership. • Executive leadership notifies: – Locality headquarters of the full implementation, if a subordinate locality, and – Continuity Coordinator. – Subordinate or interdependent agencies.	• The Continuity Coordinator notifies: – Key personnel and provides instructions. – Human Resources (to provide guidance to locality personnel) – Public Affairs – Facility Management – Security Manager – Others as appropriate.

In addition to the notifications outlined in the matrices, the continuity coordinator may make the following notifications within 12 hours of activation:

- Notify current active vendors, contractors, and suppliers of the plan activation and advise them of changes in activities that effect their business with *(locality)*.

- Notify the primary point of contact for surrounding organizations, jurisdictions, and interdependent agencies of the plan activation and any potential consequences or planned alternate actions that might be required.

- Notify locality personnel, contractors, suppliers, vendors, and interdependent agencies of the expected duration of the event.

Phase 3- Continuity Operations

This section should identify initial arrival/check-in procedures as well as operational procedures for the continuation of MEFs. Questions to consider when completing this section may include:

- *Do procedures exist for in-processing key personnel and executive leadership at the alternate facility?*

- *What methods are in place to account for executive leadership and key personnel authorized to continue MEFs under the teleworking arrangement?*

- *What methods are in place to account for and track contractors who support the performance of MEFs?*

- *Are security protocols required and already in place at the alternate facility?*

- *Can the locality adjust or reduce operating hours, locations, or services if the event causes a reduction of staff?*

- *Are there processes or manual workarounds for MEFs or Primary Business Functions (PBFs)? PBFs are the specific supporting activities that an organization must conduct in order to perform its MEFs. Are the manual workaround documents for MEFs and PBFs readily available?*

Upon activation of the Continuity Plan during regular duty hours, key personnel will continue to perform MEFs if possible until ordered to cease operations by *(insert name of authority)*. At that time, EFs will transfer to the alternate the facility and/or performed in the manner prescribed by the *(insert name of authority)*.

If, during non-duty hours, leadership decides to transfer MEFs to the alternate facility, key personnel may be required to arrive at the alternate facility (ies) first to prepare the site. Upon arrival at the alternate facility, these key personnel will:

Ensure infrastructure systems, such as power and HVAC are functional

- Implement pre-designated security protocols if required

- Prepare check-in duty stations for key personnel and executive leadership arrival

- Field telephone inquiries from locality staff

- *(insert additional tasks here)*

If leadership decides to perform MEFs via telework or with a reduced workforce, key personnel will:

- Heed all applicable instructions

- Retrieve pre-positioned information and activate applicable systems or equipment

- Begin performing locality MEFs

- Keep the EMC (Continuity Coordinator or designee) informed of MEF capability.

- *(insert additional tasks here)*

During continuity operations, *(locality)* may need to acquire additional personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or *(locality)* resumes normal operations. *(Locality)* maintains the authority for emergency acquisition. Instructions for these actions are found *(insert instructions below, add them as an appendix, or insert the location of instructions if found in another document)*

Phase 4- Reconstitution

Agencies must develop a checklist of procedures for key personnel and executive leadership to assist them in returning to normal operations and/or back to the primary facility. The plan includes a reconstitution manager in the roles and responsibilities or the locality heads appoints staff, or during implementation of the Continuity Plan based on the nature of the disruption. It is important to note that the Reconstitution Manager will need to work closely with the Continuity Coordinator and may be required to share limited resources. Some questions to consider when developing this section include:

- *How long will it take to transition essential records, systems, or equipment from the alternate facility to the primary or new facility?*

- *What method of notification will be used to inform employees, external partners, vendors, and customers be notified of the action plan for reconstitution?*

Sample text for this section includes:

(Insert department title or position name) is responsible for initiating and coordinating operations to salvage, restore, and recover the *(locality's)* primary operating facility, overseeing the repair or restoration of systems or equipment, and/or supervising the return to work of personnel. Reconstitution to the primary operating facility may require approval from local, State, or Federal law enforcement or emergency service agencies.

During continuity operations, the Reconstitution Manager or designee must obtain the status of the facilities, systems, and/or workforce affected by the event. Upon obtaining the status of the facility, systems, or workforce, the Reconstitution Manager will determine the amount of time s needed to repair the affected facility or systems, acquire a new facility or systems, or achieve workforce recovery. Other agencies such as the Department of General Services, or Virginia Information Technology Locality, may support this process. *Identify any other agencies that may also be included*.

Reconstitution procedures will commence when the *(Local government administrator or other authorized person)* ascertains that the emergency or disruption has ended and is unlikely to reoccur. Once the appropriate authority has made this determination, in coordination with other applicable authorities, they may implement one or more of the following options:

- If the disruption affected the facility, the Reconstitution Manager may conduct security and safety assessments to determine building suitability.

- Executive leadership notifies locality personnel that the threat of, or actual emergency, no longer exists and provides instructions for resumption of normal operations.

- Each business unit or subcomponent will designate a reconstitution point-of-contact to work with the Reconstitution Manager and to update personnel on developments regarding reconstitution.

- Key personnel continue to perform MEFs until notification of reconstitution implementation.

- The Reconstitution Manager and/or the Continuity Coordinator communicates the reconstitution schedule to personnel, contractors, locality partners and other key contacts (local jurisdictions, vendors, etc.), as applicable.

- The Reconstitution Manager coordinates with the Information Technology Manager, or other appropriate staff to verify that systems, communication, and other required capabilities are available and operational and that the locality is fully capable of accomplishing all MEFs and operations at the new or restored facility, with the new or restored systems, or with a new or restored workforce.

- The reconstitution manager or designee implements the reconstitution plan. They will supervise the return of personnel, equipment, and documents to normal operations whether at the primary or a permanent alternate facility location. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined by the Reconstitution Manager. Transition and/or recovery of essential records, databases, or equipment, as well as other records not designated as essential will occur in a manner consistent with locality disaster recovery plans (including the Information Technology Disaster Recovery Plan).

- The Continuity Coordinator conducts a "hot wash" or review of its continuity operations and the effectiveness of its plans and procedures with executive leadership and key personnel and then completes an After Action Report (AAR). Information gathered during the AAR process provides the basis of an Improvement Plan (IP) to correct identified deficiencies. VDEM recommends these actions as best practices.

- *(insert additional activities associated with reconstitution here)*

ESSENTIAL FUNCTIONS (EFs)

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This section identifies the local government's essential functions (EFs), including the mission essential functions (MEFs). (EFs) directly relate to accomplishing a local government's mission and if deferred for more than 30 days could without risk failure of mission or loss of trust, respect and funding. Exercising civil authority. MEFs are the essential functions directly related to accomplishing the organization's mission as determined by statute.

While many local government functions are important, during a disruption agencies must be able to focus their efforts and limited resources on functions and therefore must prioritize functions, based on the following criteria

- *Maintaining the safety and health of the public*

- *Sustaining the industrial and economic base:*

- *Recovery time objectives, which is how quickly the function must be restored if there is a disruption*

- *The impact on local government operations if the task is deferred*

- *Leadership priorities*

This process of identifying EFs requires input from the staff members of the local government agencies/departments.

Appendix D includes detailed instructions on how to identify EFs and MEFs. It also includes worksheets that facilitate the process of summarizing each function. To access this information click here.

Table 8 includes the list of EFs and MEFs based on the information compiled in Appendix D. Incorporate Table 8 into (locality's) plan with actual functions.

Table 8 includes examples of MEFs and prioritizes them by RTO. This assists the locality and staff in knowing which functions to recover first.

Table 8
Essential Functions (EFs)

Mission Essential Function	Description	RTO
Coordinate and/or administer emergency response and disaster preparedness programs	Protect the lives and property of citizen, visitors, business 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 local government leadership	< 2 hours
Protect the life and safety of citizens, employees, businesses and visitors	Provide a safe and secure environment in the locality by maintaining law enforcement and security services.	< 2hours

PROGRAM MANAGEMENT AND MAINTENANCE

This section describes the overall management and maintenance of the Continuity Program and plan. Continuity plan maintenance ensures that the plan reflects the current locality environment and that staff is prepared to respond during plan implementation. The plan should be updated at least annually but more often as needed to reflect personnel, equipment, or system changes, or new processes for performing EFs. Document plan changes in the Record of Changes section.

Review the sample text provided in the next section and apply to program management and maintenance responsibilities as applicable to the roles and responsibilities designated by the locality.

Locality leadership and the Continuity Coordinator are responsible for managing and maintaining the Continuity Plan. While the Continuity Plan serves as the guide during activation and recovery, the Continuity Program provides the framework and structure to guide continuity planning.

Table 9
Program Management and Maintenance Responsibilities

Position	Responsibility
Local government administrator	• Designate and authorize a Continuity Coordinator to manage the locality Continuity Program. • Designate a Reconstitution Manager to oversee and coordinate reconstitution efforts. • Coordinate the efforts and activities of the Continuity Coordinator and Reconstitution Manager. • Ensure that orders of succession and delegations of authority are kept up to date • Promulgate the Continuity Plan • Ensure all appropriate locality components participate in continuity exercises
Continuity Coordinator	• Coordinate the development and documentation of all activities required for the locality to perform its EFs during an event or other situation that disrupts normal operations. • Create a planning schedule and milestones for developing or

Position	Responsibility
	updating continuity capabilities and obtaining plan approval.
	• Coordinate and/or administer continuity awareness training for all locality employees and applicable contractors responsible for supporting activation of the Continuity Plan.
	• Maintain and update the Continuity Plan as outlined in Table 9 – Continuity Plan Maintenance Schedule.
	• Coordinate an annual continuity exercise and complete an After Action Report (AAR).
	• Develop an Improvement Plan (IP) to correct deficiencies noted in the AAR and modify the Continuity Plan, if appropriate.
Reconstitution Manager	• Initiate, coordinate, and oversee operations to salvage, restore, and recover the locality's primary operating facility, systems or equipment, and/or workforce, or locate and prepare a new facility for the organization.
	• Establish an action plan for reconstitution and notify the Continuity Coordinator of the plan.
Key Personnel	• Have an approved telework agreement, if applicable
	• Participate in continuity training and exercises as directed
	• Be aware of their role and capable of performing their responsibilities in the event of plan activation.
	• Provide current contact information to the Continuity Coordinator for inclusion in the Continuity Plan as appropriate.
Locality Employees and Contractors	• Know and understand their roles in a continuity environment.
	• Understand the communication protocols for continuity events.

The Continuity Coordinator or their designee is responsible for continuity plan maintenance.

Table 10
Continuity Plan Maintenance Schedule

Activity	Tasks	Frequency
Revise contact information for executive leadership and key personnel	• Confirm and update executive leadership and key personnel information	Semiannually
Plan update	• Review entire plan for accuracy and compliance with the most recent VDEM template as required by Executive Order #41, 2019. • Update plan to reflect organizational changes within the locality or changes to the MEFs or supporting activities performed by the locality, interdependent agencies, or contractors • Incorporate lessons learned and changes in policy and philosophy	Annually or when organizational changes occur
Maintain orders of succession and delegations of authority	• Identify current incumbents • Update rosters and contact information	Semiannually
Maintain alternate facility readiness	• Check all systems • Verify accessibility • Cycle supplies and equipment, as necessary	Annually or at the locality's discretion
Verify the existence of an locality essential records program and	• Verify that essential records program includes provisions for monitoring the volume of materials, updating and/or removing materials, and materials	Annually or at the locality's discretion

Activity	Tasks	Frequency
identify the Program Manager	distribution.	

TRAINING AND EXERCISES

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This section discusses the training and exercise activities of the Continuity Program. Training for new staff, and the frequency of refresher training for current staff, faculty, executive leadership, and applicable contractors should be included. Group training is ideal because it allows for open discussion. Current staff may need refresher training periodically various methods, including newsletters and interactive online tools. Conduct MEF cross training one-on-one between the primary and alternate key personnel.

Include an exercise schedule for the Continuity Plan. The locality may revise the sample text in the following section so that it reflect (locality's) practices.

The locality's continuity training and exercise program underscores its continuity capability. Major components of this program include training all staff in their continuity responsibilities and conducting exercises to test and validate continuity plans and procedures, systems, and equipment.

TRAINING

The *(locality)* recognizes the importance of continuity training to maintaining a continuity capability. The *(locality)* has developed the following training schedule:

Table 11
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	Continuity Plan Training (must minimally	Continuity	Annual awareness

Individual or Group to Receive Training	Type of Training	Individual to Provide Training	Training Frequency
and Key Personnel (Primary)	include individual Continuity Plan duties, mission essential functions, and orders of succession)	Coordinator	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 locality'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 Locality Personnel	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

EXERCISES

This section describes types of exercises and their intended goals and objectives. Exercises should promote preparedness, improve the response capability of individuals in the locality, 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.

- *Tabletop Exercises* *simulate an activation of the Continuity Plan in an informal, stress-free environment. Tabletop exercises promote constructive discuss includes an on as participants examine and resolve problems based on existing plans. There is no equipment utilization, resource deployment, or time pressure. The exercise 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 locality to respond to simulated continuity activation. This exercise tests one or more functions with emphasis 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 exercise provides realism through mobilization of locality personnel, equipment and resources.*

Agencies may choose to coordinate their annual Continuity Plan exercise to coincide with an Emergency Operation Plan exercise or other emergency response exercises.

Refer to the sample text below and replace or revise this text to fit locality needs:

Exercises are conducted regularly (insert frequency) to validate elements of the Continuity Plan. The Continuity Coordinator and the Reconstitution Manager or designee are 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.

Exercise or Activation Evaluation

This section suggests following the best practices of The Homeland Security Exercise and Evaluation Program (HSEEP). The HSEEP guidelines are available on the FEMA website at *https://www.fema.gov/hseep*. *The guidelines include developing After Action Reports (AARs) and Improvement Plans (IPs) and identifying by position, the individual responsible for incorporating lessons learned back into the Continuity Plan.*

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

Recommended best practices, based on the HSEEP guidelines, include an evaluation of exercises and actual events. HSEEP guidelines recommend developing an AAR and IP. The evaluation identifies systemic weaknesses and suggest corrective actions that will enhance *(locality's)* preparedness. The Continuity Coordinator collects and reviews this information, and presents to the local director of emergency management or other designated official for approval. Once approved, the Continuity Coordinator will incorporate applicable lessons learned into the plan.

AUTHORITIES

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This section includes authorities used during the continuity planning process and should include local codes and or local directives.

REFERENCES

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This section includes the references used continuity planning process.

- Virginia Department of Emergency Management Continuity Plan Template, March, 2020

- Continuity Guidance Circular (February 2019), FEMA National Continuity Programs

- Continuity Plan Template and Instructions for Non-Federal Entities and Community Based Organizations, August 2018

- Homeland Security Exercise Evaluation Program (HSEEP) guidelines at *https://www.llis.dhs.gov/hseep.*

APPENDIX A – KEY PERSONNEL RAPID RECALL LIST

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This rapid recall list provides the Continuity Coordinator or designee with contact information for key personnel Table A-1 identifies key personnel and their responsibilities during a continuity event. This includes both primary and alternate key personnel. Agencies are encouraged to include more information as they deem appropriate.

This rapid recall list includes contact and telework information for key personnel tasked with responsibilities during a disruption to agency operations or services. Agency staff not included on this list should follow instructions provided by *(designated staff)* during an activation of the Continuity Plan.

Table A-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 citizens, visitors, and businesses of (locality)

APPENDIX B - ALTERNATE FACILITIES

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Localities may identify two to three alternate facilities to continue operations in the event of loss of the facility.   Alternate facilities may include facilities owned by local jurisdiction, privately owned sites or virtual office options. One location can be close to the current operations. The second alternate facility should be farther away – at least five miles from the primary facility and the third alternate facility could be 20-30 miles away.

Considerations for alternate facilities may include:

- *Space requirements,*
- *Accessibility (by staff and customers),*
- *Communications / data requirements,*
- *Security requirements*
- *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:

(Locality) 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 B-1
Alternate Facility Locations

Alternate Facility Number	Alternate Facility Name	Address	Date MOU / MOA was executed	Capacity	Equipment / Systems Already on-site
1	*Chapman Building*	*123 Fourth St, Richmond, VA*	*July 8, 2011*	*55 Personnel*	*Twelve (12) telephone lines*
	Business Units, MEFs, and PBFs: *Indicate the MEFs and PBFs performed at this facility as well as the business units that will perform them.*				

ALTERNATE FACILITY MOUs

Determine through consultation with the local attorney if a local agency/department can enter into an agreement with another local agency/department for temporary use of space (30 days or less).

If a memorandum of understanding is required, review MOUs annually, and renew and update as needed, but at least once every 4 years. Both entities should have an easily accessible written copy with the appropriate signatures.

Consider the following criteria in the site selection process:

- *Length of time space is being requested*

- *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 alternate 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*

- *Is there adequate parking available to accommodate*

- *Is there a cost for maintaining this agreement and/or is there a rental cost for activating this agreement?*

Refer to the sample text for included below and modify the language to meet agency needs:

(Locality) has established the following MOUs for alternate facility locations:

A Memorandum Understanding (MOU) is in effect with the alternate site owners. Reviews MOU(s) annually and updated periodically or as needed. Identify the location of office/division/department) where MOUs are maintained.

APPENDIX C - ESSENTIAL RECORDS, SYSTEMS, APPLICATIONS, AND EQUIPMENT

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Local jurisdictions depend on essential records, systems, and equipment to perform MEFs. .. Essential records 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.

It is important to identify the systems and equipment that are necessary for the (locality) to perform its essential missions.

Recommendations for identifying essential records, systems, applications, and equipment:

- *Include continuity coordinator, information technology and facilities staff to identify essential records, systems. applications, and equipment that support MEFs*

- *Identify best practices for maintaining and protecting essential records, systems, applications, and equipment.*

- *Identify IT for the recovery of information systems and facility plans that may need to be implemented in the event of a continuity incident*

- *Consider if a system or piece of equipment is dependent upon another particular system or piece of equipment to be operable*

- *Develop policies for regularly testing of equipment, such as generators*

- *Develop policies to prioritize the restoration of restoration of essential records based on recovery time objectives (RTOs) and recovery point objectives (RPOs).*

RTO is the amount of time the organization can function without the record. An RPO is the amount of time between back-ups of ==elections.== Policies should regular testing of systems and equipment.

Review the sample text below and revise it to reflect the needs of the local government.

(Locality) 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 and to ensure their availability in a continuity environment.

This Continuity Plan includes measures to safeguard electronic essential records in collaboration with the information technology and facilities. The following essential records, systems, and equipment support the performance of *(locality's)* MEFs.

Table C-1
Essential Records, Systems, Applications, and Equipment

Essential Function (EF)	Essential Records, Systems, Applications, and Equipment	Recovery Time Objective (RTO)	Networks or Servers that must be Operational to Support the System(s) or Equipment
Coordinate and/or administer emergency response and disaster preparedness programs	*Paper Contract Files*	*72 hours*	*N/A*
	Financial Management System (FMS	*72 hours*	*Power supply, System managed by contractor*
Communicate with federal, state, local, and private sector partners as well as the public during emergencies	*Voice Over Internet Protocol (VoIP) phones)*	*2 hours*	*Power, bandwidth*
	WebEOC	*Immediate*	*Power, WebEOC Servers, bandwidth*

Table C-2
Essential Records, Systems, Applications, and Equipment Protection

Essential Record, System, Application, or Equipment	Storage Location	Recovery Point Objective (Maintenance Frequency of Electronic Records)	Current Protection Methods	Vendors	Vendor Contact Information
Paper Contract Files	*Procurement Office*	*N/A*	*Locked Cabinet*	*N/A*	*N/A*
Financial Management System (FMS)	*VITA Commonwealth Enterprise Solution Center (CESC), Chester, VA*	*Backed up 1 X every 24 hours*	*Firewall*		*Mary Jones – (804) 484-0000*
Voice Over Internet Protocol (VoIP) phones	*Telecommunications Room*	*N/A*	*Room secured by electronic access control system with master key override*		*Joe Smith – (804) 000-0000*
WebEOC	*Server Rooms*	*Backed up 1 X every 24 hours*	*Firewall*		*Mary Jones – (804) 484-0000*

APPENDIX D -- Essential Functions (EFs) and Business Process Analysis (BPA)

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Essential Functions

This section provides guidance on how to prioritize the essential functions identified in Essential Function Section of the Basic Plan (pages 23-24). This process enables a locality to distinguish between essential functions that must be continued (or quickly resumed) and other functions the locality can defer during a disruption.

The process of identifying EFs includes the following steps:

1. *Identify all functions of the local government include overarching functions, functions of each department/agency and functions that support performance of other functions.*

2. *Analyze and prioritize the functions using the following criteria:*

   - *Recovery time objectives (RTOs), how quickly must this function be resumed*

   - *Impact on the local government and its citizens, if the service is not provided*

   - *Management priority of continuing or deferring the function*

3. *Identify the EFs and submit to leadership for approval.*

Business Process Analysis

Once the EFs have been determined and approved, the next step is to conduct a business process analysis (BPA) for each EF and PBF. A BPA captures and maps the functional processes, workflows, activities, personnel expertise, systems, resources, controls, data, and facilities inherent in the execution of a function or requirement. An effectively conducted BPA supports the development of detailed procedures that outlines how an organization accomplishes its mission. *The forms in Tables D1 and D2 are a guide to collecting the information in the Business Process Analysis.*

The Business Process Analysis (BPA) is a systematic method of identifying and documenting all of the elements necessary to accomplish each MEF. The planning team with input from the agencies/departments conducted BPAs of the primary business functions that directly support EF performance. The following BPAs represent the *(locality)* processes for performing each MEF and supporting primary business functions. The essential records, systems, applications, and equipment identified in Appendix C directly support the ability to perform processes and functions

identified in this section. Therefore, protection methods identified in Appendix C also apply to the process and functions described herein.

Table D-1
Essential Function - Business Process Analysis

(Insert EF Title)- Business Process Analysis
EF Description: *Provide a brief description of the function* *IS this function an MEF, i.e. is the locality legally mandated to perform this function?*
Recovery Time Objective (RTO):
EF Input: *(Describe information, authorizations, supplies, and services required to perform the MEF. Each input should briefly describe how the input supports the overall process.)*
MEF Output: *(Describe the MEF output, i.e., the products, or services delivered. If possible, provide metrics for time and other performance measures.)*
Leadership: *(A list identifying the key senior leaders, by position, who are required to participate directly in performance of the EF.)*
Staff: (*Identify staff requirements to accomplish the EF. Include shifts if required. Identify back-up personnel.* *Indicate if 24x7 operations are expected.* *Identify authorities, qualification, and certification.* *Identify positions titles, but do not include names of staff members.*
Communications and IT Requirements: *(Identify general and unique communications and IT requirements.)*
Facilities: *(Describe the facility requirements to ensure mission performance, including office space, industrial capacity and equipment, and critical supporting infrastructure.)*
Resources and Budgeting: *(Identify supplies, services capabilities, and other essential resources required to perform the mission and supporting activities not already accounted for in the BPA process.)*

(Insert EF Title)- **Business Process Analysis**

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.)*
Is there a manual workaround for this function? *If so, identify the location of the instructions or description. There is an optional manual worksheet available on pages 46-47 of the template.* *Do employees and alternates receive training on the manual work around procedures?*
Process Details: *Provide a narrative or diagram that ties together all of the elements involved in the process of performing the mission.*
Summary: *Can this function be performed via teleworking or at an alternate facility?* *Has additional staff been cross-trained to perform this function?*

Table D-2
Primary Business Function - Business Process Analysis

(Insert name of agency) *(Insert Primary Business Function Title)*- **Business Process Analysis** *(Insert Date)*
Primary Business Function Statement: *Provide a brief description of the function*
Recovery Time Objective (RTO):
Primary Business Function Input: *Provide a list describing the PBF output, i.e., the products and what products and services produced by this function. If possible, metrics that provide time and other performance measures should be included.*
Primary Business Function Output: *Describe the PBF output, i.e., the products, or services delivered. If possible, provide metrics for time and other performance measures.*
Leadership: *A list identifying the key senior leaders, by position, who have direct responsibilities in the performance of the PBF., i.e. approval of travel or purchase requests)*
Staff: Staff: *Identify staff requirements to accomplish the MEF. Include shifts if required. Identify back-up personnel. Indicate* *Indicate if 24x7 operations are expected.* *Identify authorities, qualification, and certification.* *Identify positions titles, but do not include names of staff members.*
Communications and IT Requirements: *Identifying general and unique communications and IT requirements.*
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.
Is there a manual workaround for this function? *If so, identify the location of the instructions or description. There is an optional manual worksheet available on pages 46-47 of the template.* *Do employees and alternates receive training on the manual work around procedures?*
Process Details: *A detailed narrative or diagram that ties together all of the elements involved in the process of performing the PBF.*
Summary: *Can this function be performed via teleworking or at an alternate facility?* *Has additional staff been cross-trained to perform this function?*

MANUAL WORKAROUND WORKSHEET (OPTIONAL)

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Manual Workaround for Mission Essential Functions (MEFs) or

Primary Business Functions (PBFs)

Manual Workaround Procedure *(Insert MEF or PBF Title)* *(Insert Date)*	
MEF/ PBF Title:	
MEF/ PBF Narrative:	
Staff / Leadership Responsible:	
Application(s) or System(s) Required:	
Essential Records, Databases, Documents:	
Non-Department / Agency Contacts: Other Departments / Agencies, Contractors, Other Partners	
Department/Agency/Company Name:	
Function /Service Provided:	
Contact Name:	**Contact #:**
Alternate Contact Name:	**Alternate Contact #:**
Contract # (if applicable):	**Contract Officer Name:**
Contract Expiration Date:	**Contract Officer #:**

Non-Department / Agency Contacts: Other Departments / Agencies, Contractors, Other Partners

Department/Agency/Company Name:

Function /Service Provided:

Contact Name:	**Contact #:**
Alternate Contact Name:	**Alternate Contact #:**
Contract # (if applicable):	**Contract Officer Name:**
Contract Expiration Date:	**Contract Officer #:**

Procedures / Instructions

ACRONYMS AND DEFINITIONS

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ACRONYMS

AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CEMP	Crisis and Emergency Management Plan
COOP	Continuity of Operations
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
EAP	Emergency Action Plan
FEMA	Federal Emergency Management Agency
FOIA	Freedom of Information Act
HSEEP	Homeland Security Exercise and Evaluation Program
IP	Improvement Plan
ITDRP	Information Technology Disaster Recovery Plan
MEF	Mission Essential Function
MOU	Memorandum of Understanding
NTAS	National Terrorism Advisory System
NWS	National Weather Service
PBF	Primary Business Function
RPO	Recovery Point Objective
RTO	Recovery Time Objective
SPSHS	Secretariat of Public Safety and Homeland Security

DEFINITIONS

Activation – When all or a portion of the COOP plan implemented because of a disaster or emergency.

After Action Report (AAR) – A report that summarizes and analyzes performance in both exercises and actual events. The report includes lessons learned, best practices, and an Improvement Plan (IP).

Alternate Facility – A location, other than the normal facility, used to conduct mission essential functions (MEFs) in the event of a disaster.

Application – A software program that runs on a computer.

==Business Impact Analysis (BIA)== –

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.

Cold Site – An alternate site reserved for emergency use, but needs the installation of equipment before it can support operations.

Continuity Coordinator – The individual that serves as the locality's manager for all continuity activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the locality 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 (Continuity) – The effort to ensure an organization can continue its mission essential functions across a wide range of potential events.

Continuity Plan – A set of documented procedures developed to provide for the continuance of mission essential functions during an emergency.

Continuity Program – An ongoing, cyclical model of planning, training, evaluating, and implementing corrective action for continuity capabilities.

Delegations of Authority – Identification of statutory or signatory authorities, those individuals holding the authority, and the alternate individuals responsible for assuming that authority should the primary be unavailable.

Emergency Management Assistance Compact (EMAC) – Congressionally ratified organization that provides form and structure to interstate mutual aid. During a disaster, it allows a state to request and receive assistance from other member states.

Emergency Preparedness – The discipline ensures an organization or community's readiness to respond to an emergency or disaster in a coordinated, timely and effective manner.

Essential Functions – Organizational functions that are determined to be critical activities that cannot continue or resumed quickly after a disruption.

Essential Records – Records, files, documents or databases, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

Equipment – set of physical resources that provide support or provide improved capability of a function.

Facility – A location containing the equipment, supplies, and voice and data communication lines to conduct transactions required to conduct business under normal conditions. .

Federal Emergency Management Agency (FEMA) – The federal agency tasked with supporting citizens and first responders to ensure that as a nation, the United States works together to build, sustain, and improve its capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.

Freedom of Information Act (FOIA) – A federal law, passed in 1966, which allows for the full or partial disclosure of previously unreleased information and documents under the control of government agencies.

Homeland Security Exercise and Evaluation Program (HSEEP) – A threat and performance-based exercise program developed by DHS that provides doctrine and policy for planning, conducting, and evaluating exercises. It to enhances and assesses terrorism prevention, response, and recovery capabilities at the federal, state and local levels.

Hot Site – An alternate facility that already has in place the computer, telecommunications, and environmental infrastructure to recover the mission essential functions disrupted by an emergency or disaster.

Hot Wash – A post-event meeting where executive leadership and key personnel discuss best practices of and potential improvements to the locality's overall preparedness.

Implementation Procedure Checklist – A list of the immediate actions to take upon plan implementation.

Improvement Plan (IP) – A list of action steps and resources required to correct a deficiency identified in an After Action Report, including the individual responsible for the actions and an estimated timeline for completion.

Information Technology Disaster Recovery Plan (ITDRP) – A set of documented procedures that identify the steps to restore organizations' IT systems and resources that support its primary business functions.

Key Personnel – Personnel designated by their division as critical to the resumption of mission essential functions.

Memorandum of Understanding (MOU) – A document that expresses mutual accord between two parties. To be legally operative, a memorandum of understanding must identify the contracting parties, identify the subject matter, its objectives, summarize the essential terms of the agreement, and be signed by the contracting parties.

Mission Essential Functions (MEFs) – The limited set of local government functions directly related to the local government's mission as set forth in statutory and executive charter and must be continued or resumed rapidly after a disruption of normal activities

National Terrorism Advisory System (NTAS) – The system that replaces the color-coded Homeland Security Advisory System and provides timely, detailed information to the public, government agencies, first responders, airports and other transportation hubs, and the private sector.

National Weather Service (NWS) – A division of the National Oceanic and Atmospheric Administration (NOAA) that provides weather, hydrologic, and climate forecasts and warnings for the United States, its territories, and its adjacent waters and ocean areas, for the protection of life and property and the enhancement of the national economy.

Orders of Succession – A list that specifies by position who will automatically fill a position if it becomes available during an emergency.

Primary Business Function (PBF) – Specific supporting activities that an organization must conduct in order to perform its mission essential functions. Primary business functions are typically enablers that make it possible for an organization to perform its mission.

Promulgation – The process that officially announces/declares a plan and gives organizations both the authority and responsibility to perform their tasks.

Reconstitution – The process by which locality personnel resume normal business operations in a rehabilitated or new facility.

Reconstitution Manager – The individual responsible for all reconstitution activities. During an event, the Reconstitution Manager develops a plan and schedule for resuming normal operations and supervises the return of key personnel, essential records, and/or equipment.

Record Retention – Storage of historical documentation for a set amount of time usually mandated by state or federal law or by the Internal Revenue Service.

Recovery – Recovery, in this document, includes all types of emergency actions dedicated to the resumption of mission essential functions and operational stability.

Recovery Point Objective (RPO) – The period between backups of essential electronic records in which data could be lost.

Recovery Time Objective (RTO) – The period of time in which systems, applications or essential functions must be recovered after a disruption of normal operations.

Risk – An ongoing or impending concern that has a significant probability of adversely affecting business continuity.

Risk Assessment/Analysis – 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.

Risk Management – The discipline that ensures that an organization does not assume an unacceptable level of risk.

Secretariat of Public Safety and Homeland Security (SPSHS) – The Commonwealth of Virginia's cabinet-level office that oversees the Commonwealth's Public Safety and Homeland Security efforts.

Systems – An organization of hardware and software that share one or more of the following: storage, processing capabilities, application/functional software, and data. A system should function together as a unit, and there could theoretically be systems of systems.

Vulnerability – The susceptibility of an organization to a hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.

Warm Site – An alternate facility that is only partially equipped.