

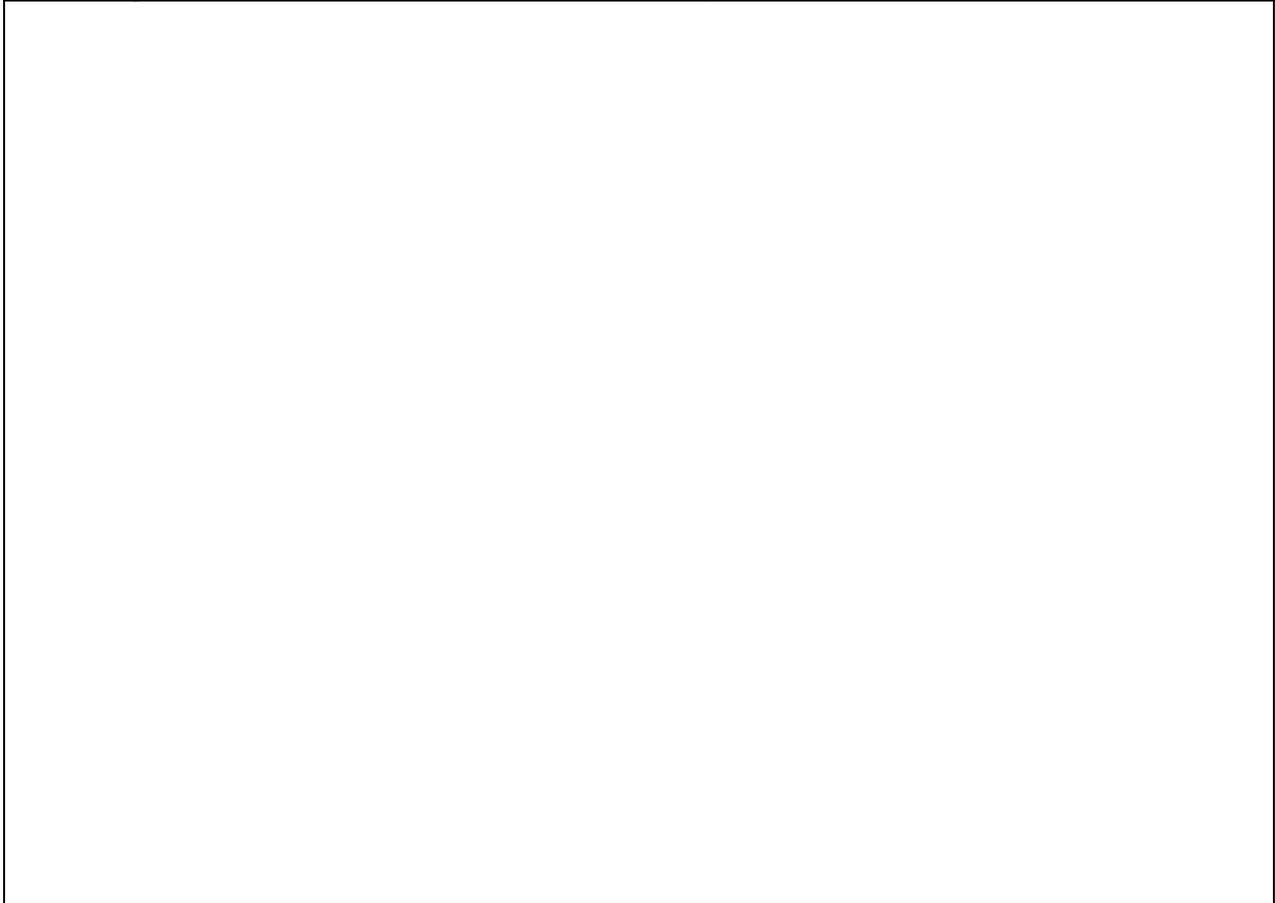
Instructions: Use the matrix below to record your agency's essential functions and the supporting personnel, equipment, records and databases, and supplies to support each.

Essential Functions Matrix					
Priority	Essential Function	Number of Personnel	Equipment & Systems	Vital Records & Databases	Supplies
1					
2					
3					
4					

Planning Activity

Instructions: Using the space below, record three functions that you believe are essential to your agency.

Record your list of essential functions in the space below.

A large, empty rectangular box with a thin black border, intended for the user to list three essential functions of their agency.

Planning Activity

Instructions: Consider your agency's alternate facility. Then, complete the checklist below.

Alternate Facility Checklist		
Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Does the facility provide a risk-free environment that reduces the chance that the site will be affected by the same event that required COOP activation?
<input type="checkbox"/>	<input type="checkbox"/>	Is the facility constructed so that it is relatively safe from the high-risk hazards in the area?
<input type="checkbox"/>	<input type="checkbox"/>	Does the facility have enough space to house the personnel, equipment, and systems required to support all of the agency's essential functions?
<input type="checkbox"/>	<input type="checkbox"/>	Is billeting available at or near the facility?
<input type="checkbox"/>	<input type="checkbox"/>	Is public transportation available to the facility?
<input type="checkbox"/>	<input type="checkbox"/>	Will the facility support the agency's COOP information technology and communication requirements?
<input type="checkbox"/>	<input type="checkbox"/>	Are security measures in place to ensure the safety of all personnel?
<input type="checkbox"/>	<input type="checkbox"/>	Are food, water, and other necessities available onsite or nearby?
<input type="checkbox"/>	<input type="checkbox"/>	Is the facility suitable for the agency's needs without extensive refitting?
<input type="checkbox"/>	<input type="checkbox"/>	Can the facility be kept ready for COOP operations without extensive maintenance?

Planning Activity

Instructions: Complete the checklist below.

Vital Records Program Checklist		
Yes	No	Has Your Agency. . . ?
<input type="checkbox"/>	<input type="checkbox"/>	Issued a vital records directive that has been signed by senior management?
<input type="checkbox"/>	<input type="checkbox"/>	Determined the appropriate medium for each type of vital records?
<input type="checkbox"/>	<input type="checkbox"/>	Considered multiple redundant media for storage and methods to facilitate the rapid recovery of records necessary to ensure business survival?
<input type="checkbox"/>	<input type="checkbox"/>	Identified all vital records, including their location and access information?
<input type="checkbox"/>	<input type="checkbox"/>	Completed a risk assessment for its vital records program?
<input type="checkbox"/>	<input type="checkbox"/>	Selected appropriate protection methods for all vital records.
<input type="checkbox"/>	<input type="checkbox"/>	Developed procedures for routinely updating vital records to ensure that they always contain the most current information?
<input type="checkbox"/>	<input type="checkbox"/>	Identified records recovery experts and vendors who can assist with the recovery of vital records in the event of damage or loss?
<input type="checkbox"/>	<input type="checkbox"/>	Developed a vital records packet that includes a list of key personnel and disaster staff and their contact information, a complete inventory of the vital records and their locations, and necessary keys and/or access codes?
<input type="checkbox"/>	<input type="checkbox"/>	Instituted a training program for all staff involved in the vital records program?
<input type="checkbox"/>	<input type="checkbox"/>	Developed a strategy for periodic review of all vital records?
<input type="checkbox"/>	<input type="checkbox"/>	A testing strategy that evaluated capabilities for protecting classified and unclassified vital records and databases and providing access to vital records from alternate facilities?

Alternate Facility Selection Factors	
Factor	Explanation
Location	Select a site that provides a risk-free environment, if possible, and is geographically dispersed from the primary work location. This will reduce the chance that the site will be affected by the same event that required COOP activation.
Construction	The alternate facility should be constructed so that it is relatively safe from the high-risk hazards in the area.
Existence of an MOU/MOA	The General Services Administration may have space available that is suitable for an alternate facility. Another option may be to enter into a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) with another agency to share space during COOP activation.
Space	The alternate facility must have enough space to house the personnel, equipment, and systems required to support all of the organization's essential functions.
Billeting and Site Transportation	Billeting and site transportation should be available at or near the alternate facility. Sites that are accessible by public transportation and that provide billeting or are near hotels offer important advantages.
Communication	The site will need to support the agency's COOP information technology and communication requirements. The agency will need to acquire any capabilities not already in place.
Security	Security measures, such as controlled access, should be an inherent part of the alternate facility.
Life Support Measures	Access to life support measures—food, water, and other necessities—should be available onsite or nearby.
Site Preparation Requirements	The amount of time, effort, and cost required to make the facility suitable for the agency's needs is critical. The more "turnkey" the facility is, the better.
Maintenance	Consider the degree of maintenance required to keep the facility ready for COOP operations. Lower-maintenance facilities offer a distinct advantage in case of no-warning COOP activation.

Components of an Effective Vital Records Program	
Component	Description
Vital Records Directive	<p>A directive from senior leadership that establishes the vital records program and assigns responsibility for vital records management. The directive should:</p> <ul style="list-style-type: none"> ▪ Specify the purpose and scope of the program. ▪ Assign roles and responsibilities. ▪ Provide for staff training. ▪ Require periodic review and testing of the program.
Appropriate Medium	<p>The determination of an appropriate medium for each type of vital record to enable the Emergency Relocation Group (ERG) to access the records within 12 hours, or less, as required, of activation. Agencies should strongly consider:</p> <ul style="list-style-type: none"> ▪ Multiple redundant media for storage of vital records. ▪ Methods to facilitate the rapid recovery of records necessary to ensure business survival.
Records Inventory	<p>A complete inventory of the records identified as vital to agency operations. The inventory should include:</p> <ul style="list-style-type: none"> ▪ The location of the records. ▪ Complete access information.
Risk Assessment	<p>An assessment that:</p> <ul style="list-style-type: none"> ▪ Identifies the risks involved if the vital records are retained in their current locations and in their current media—and the difficulty of reconstituting them if they are destroyed. ▪ Determines the level of physical security and confidentiality of the records. ▪ Determines offsite storage—perhaps in a regional office or in commercial storage. ▪ Identifies whether alternate storage media are advisable. ▪ Determines whether duplication may be required for records that will be stored off site, are static, or are available in hardcopy only.
Records Protection Methods	<p>The selection of appropriate protection methods for all vital records, including whether:</p> <ul style="list-style-type: none"> ▪ Dispersal to other locations may be required. If records are to be dispersed, the site must have controlled access separately from the site where the records were created or used regularly. ▪ Special media protection methods are required.
Update Procedures	<p>Procedures for routinely updating vital records so that they always contain the most current information.</p>
Recovery Strategy	<p>The identification of records recovery experts and vendors who can assist with the recovery of vital records in the event of damage or loss.</p>

Component	Description
Vital Records Packet	<p>A packet that includes:</p> <ul style="list-style-type: none"> ▪ A list of key personnel and disaster staff including up-to-date telephone numbers or other contact information. ▪ A complete inventory of the vital records and their precise locations. ▪ Necessary keys and/or access codes for the records. ▪ The locations of alternate operating facilities. <p>The packet should be reviewed periodically to ensure that the information is current.</p>
Training	<p>A training program for all staff involved in the vital records program. Training for vital records should focus on the vital records policies and procedures as well as personnel responsibilities.</p>
Review Program	<p>A strategy for periodic review of all vital records. The program should:</p> <ul style="list-style-type: none"> ▪ Address new security issues that have been identified since the last review. ▪ Update information in the vital records as necessary. ▪ Identify additional vital records. ▪ Provide an opportunity to familiarize staff with the program.
Testing Capabilities	<p>A testing strategy that evaluates capabilities for:</p> <ul style="list-style-type: none"> ▪ Protecting classified and unclassified vital records and databases. ▪ Providing access to vital records from alternate facilities. <p>Testing is required semiannually.</p>

Types of Exercises	
Types	Description
Tabletop Exercises	<p>Tabletop exercises are scenario based, encouraging participants to discuss issues in depth and to develop decisions through deliberate problem solving rather than rapid, spontaneous decisionmaking that occurs under actual or simulated emergency conditions. Tabletop exercises are low-stress and slow-paced; allow for discussion of issues, plans, policies, and procedures; and provide an opportunity to resolve questions of coordination and responsibility.</p> <p>Tabletop exercises:</p> <ul style="list-style-type: none"> ▪ Are useful for developing, training, and testing new personnel or new procedures, processes, issues, relationships, and functions. ▪ Can be used at any organizational. ▪ Are relatively inexpensive to conduct. ▪ Require only basic resources. ▪ Generally take 2 hours or less to complete.
Functional Exercises	<p>Functional exercises simulate a real emergency under high-stress conditions. They typically test a single function or part of a response plan, with limited deployment of personnel or resources.</p> <p>Functional exercises are often used as a foundation or preparation for a full-scale exercise. They:</p> <ul style="list-style-type: none"> ▪ Are useful for testing specific functions, processes, and procedures or for testing the application of seldom-used resources. ▪ Can be used at any organizational level. ▪ Are less expensive to conduct than full-scale exercises.
Full-Scale Exercises	<p>Full-scale exercises also simulate a real emergency under high-stress conditions. They create a close simulation of reality and allow participants to use the plans, procedures, and resources that they would use during actual COOP operations.</p> <p>Full-scale exercises require the mobilization of personnel and resources. They are:</p> <ul style="list-style-type: none"> ▪ Useful for full and realistic testing of all aspects of planning, coordination, and integration and the demonstration of organizational functions, processes, and procedures. ▪ Best used at higher, broader organizational levels due to their cost and the resources and preparation required. ▪ A true test of full capabilities. <p>Because full-scale exercises are lengthy and expensive to develop and conduct, they are usually conducted only after several test, training, and lower-level exercises have been conducted as a means of verifying and validating the effectiveness of the other events.</p>