

## ESSENTIAL FUNCTION COOP TEMPLATE

### PURPOSE OF THIS TEMPLATE:

- Establishes a continuity of operations plan (COOP) for an essential function.
- Reveals key steps, strategies, and resources needed to maintain the function.
- Establishes essential employee assignments and responsibilities.
- Serves as a standard operating procedure (SOP) for employees to use during an actual event.
- Becomes an addendum to the office-level COOP.

### USING THIS TEMPLATE

One of the values of a COOP is that planning has occurred before the event occurs; therefore, valuable recovery time is not lost in planning after the fact. This template will assist <AGENCY> deputy directors in assembling a summary of the division's essential functions that need to be restored and in what order they should be restored. This template also encourages the assignment of orders of succession should a senior manager become unavailable, as well as listings of essential documents, laws, and contacts that you would need to quickly restore basic operations. Upon completion of your division plan, deputy directors should ensure that the impacted managers and respective staff are familiar with the division's COOP.

### BEFORE YOU BEGIN

Your Division's COOP should be able to anticipate and respond to a variety of exposures including natural disasters, technical disasters, or malicious/terror activity. The following types of events may prompt activation of one or more of your division's essential functions and/or partial or full activation of the agency's COOP:

- Natural disasters: flooding, fire, snow and ice storms, tornado and viral or bacterial epidemics.
- Technical disasters: power failure within facility, grid, city or region, failure of IT systems telecommunications failure, gas leak or chemical spill.
- Malicious/Terror Activity: bomb threat, vandalism, terrorism, civil disorder, explosion, biological contamination, radiation contamination, cyber and computer crime identity theft, espionage.

### SCENARIO

When preparing this template, consider this basic scenario: *You receive a call, without warning, one Wednesday morning at 2 a.m. that your building cannot be accessed for 10 days due to an electrical fire. The essential function discussed in this document is so critical that it must be restored and operational within 24 hours.*

### MAJOR TASKS & TIMELINE

Due Date	Task	Reviewer
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1/1/11	Update Essential Function COOP	Division Coordinator (see table below)
2/2/22	Update Divisional COOP	Agency Business Continuity Coordinator's Name
3/3/33	Update Departmental COOP	Director's Name

### QUESTIONS?

If you have questions or need assistance completing your office-level COOP, please contact your division's COOP coordinator listed below.

Division	Coordinator	Email	Phone
<AGENCY>			

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*\*Complete an Essential Function COOP for each essential function identified by your Division. Append all Critical Function Plans to your Divisional COOP. All “grey bar” fields may be removed/deleted in the final COOP.*

### Essential Function

Title of the Essential Function discussed in this document. Remember to complete one Essential Function COOP for EACH function identified by your Division.

### Managing Division, Office, or Program

List your division, office, and program (if relevant) in which the essential function is maintained.

### Manager

Name, Title, and Contact Information (work and personal phone numbers, email addresses, etc.).

### Description of Function

Briefly explain the service(s) that depend upon or support this essential function.

### Anticipated Customer Requirements

List the key customer's requirements that may alter your service levels during an event.

Customer Agency	Requirement(s)

### Change in Service-level

If service demands would change for this function, please list the component/phase/task that would be impacted and would need to be altered. Indicate if the service level for each would need to be increased, reduced or suspended, or maintained.

Function (sub-function, phase, task, etc.)	Change in service level (increase, reduce, suspend, maintain)

### Return to Service Time

Estimate when (in hours after shut-down) this function must be restored and operational.

### Key Tasks

List the key tasks, assigned employee(s), and job duties associated with restoring this critical function.

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	Key Tasks	Assigned Employee(s)	Job Duties
1			
2			
3			
4			
5			
6			
7			
8			

### Essential Employees

List the essential employees associated with restoring and maintaining this essential function:		
Name	Position	Key Responsibilities

### Orders of Succession

The following persons will be charged with administering this essential function if the Manager is unavailable. <i>Be sure to notify the successors of these duties and to share a copy of this plan with them. Secure delegations of authority, as required.</i>			
Successor Name	Title	Division, Unit, etc.	Contact Information
			Work #: Home #: Cell #: Work Email: Home Email:
			Work #: Home #: Cell #: Work Email: Home Email:

### Vendor, Business, and Customer Contact Information

Vendor, business, and customer contacts are a critical part of this COOP. This section should provide names, addresses, and telephone numbers of people whom you may need to contact during an actual event. It is essential that the plan associate the contact with the particular skillset, services, or supplies needed for the continuity of operations (i.e., what is the role of the business or person relative to this essential function?). Alternates should also be considered and listed, as necessary:

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Name	Relationship (Employee, vendor, business partner, etc.)	Home/Business Address	Phone numbers (Business, Mobile)	Email address

### Essential Records

Data and documentation, both paper and electronic, is one of the most critical elements of an effective COOP, yet also one of the most neglected. Based on the scenario proposed in the development of this COOP, a complete set of all pertinent documentation such as applicable/interdependent COOPs, manuals, policies, equipment inventories, payroll, etc., should be accessible to you at all times. Copies of relevant portions of your plans should also be provided to your employees. The following list contains examples of records and other data that you may need. Add or omit the items on this list, as necessary.

Description	Format	Person Responsible	Location	Comments
Critical record inventory	Paper or electronic	John Doe	Ex: Storage locker 5, lower level Rhodes	Ex: Records relating to vendor contracts
Backup record inventory				
Off-site storage inventory				
Telecom inventory				
Equipment inventory				
Office supply inventory				
Forms, Ltrhead inventory				
IT inventory - hardware				
IT inventory - PCs				
IT inventory - connections				
IT inventory - software				
Other setup inventory				
Alt Location contacts				
Alt Location floor plan				

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Initial notification tree				
Notification checklist				
Essential Employees contacts				
Vendor, Business contacts				
Other State contacts				
Contract Inventory				
Other – think, think, think				

### Software

<p>This section should provide an inventory of all software relevant to the function covered in this COOP. <i>Care must be exercised that fully current versions and all necessary supporting documentation are sufficiently protected and/or available. It is important that there is a formal agreement with vendors of licensed software programs to maintain the ready availability of replacement copies within a specifically stated time period.</i></p>				
Vendor Name	Vendor Point of Contact	Vendor Telephone & Email	Vendor Address	Software Name & Version

### Equipment and Computer Hardware

<p>This section should provide a list of all equipment and computer hardware needed to support the essential function. <i>Equipment and computer hardware vendors may have difficulty in making formal commitments on the availability of replacement equipment; it is reasonable, however, to expect them to help identify problems in the area of replacement. Solicit this type of information as necessary.</i></p>					
Vendor Name	Vendor Point of Contact	Vendor Telephone & Email	Vendor Address	Equipment model	Date of purchase of equipment

### Telecommunications

<p>Identify dependencies on communications devices (phone, internet, etc.) and the supporting communications networks necessary to determine the timeline in which these capabilities would</p>
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be needed.					
Device	Supporting network	Vendor telephone and email	Vendor Address	Equipment model	Date of purchase of equipment

### Security and Prevention

Identify types of security or safe guards that would need to be restored along with the function to ensure protection of vital records/databases and applications.			
Protected item	Security/Prevention solution	Version # (or relevant details)	Vendor

### Supplies

<p>Most supplies are catalog items and are reasonably available. Items that are unique to this function should be inventoried and listed here along with sufficient information regarding the vendor and the item to allow quick replacement. Certain items may need to be stockpiled at another facility. These should also be identified with information regarding their location.</p> <p>If a select form(s) is critical to the function, a supply of forms should also be kept at the AWL or the template(s) should be retained on an electronic device accessible to the manager. A record should be maintained of the amounts in supply, the location of the supply, and how to access the supply, along with relevant vendor information.</p>			
Item	Location (if stored)	Vendor (if to be purchased)	Vendor Address

### Alternate Work Location(s)

This section should list the alternate work location(s) to which this function would be restored and maintained during the event. This section should also include space requirements, site specifications, contact information, driving directions, etc.
Alternate work location address:
Special site/space requirements:

### Contracts and Agreements

This section should list any contracts necessary to support the function. Information should include vendor name, address, contact person(s), contract numbers.
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<b>Purpose of contract</b>	<b>Vendor name</b>	<b>Vendor Telephone &amp; Email</b>	<b>Vendor Address</b>	<b>Contract # (if applicable)</b>

### Administrative Considerations

List any potential <u>legal</u> , <u>budgetary</u> , <u>personnel</u> , or <u>purchasing</u> risks and considerations that could emerge during an event.

### Revision History

<b>Date</b>	<b>Description of Revision</b>	<b>Revised By</b>
	Original plan	