

**CITY OF RICHMOND  
CONTINUITY OF OPERATIONS (COOP)  
WORKSHEETS**



**Version 2 – February 2010**

The City of Richmond COOP Worksheets are adapted from the Virginia Department of Emergency Management's Local Government Continuity of Operations Worksheets and Pandemic Influenza Annex Worksheets for Continuity of Operations Planning. As such, the City of Richmond would like to give special recognition and thanks to the:

**Virginia Department of Emergency Management (VDEM) for sharing their resources**



## **Business Impact Analysis & Risk and Vulnerability Assessment**

If the department has not already completed a business impact analysis (BIA) and risk and vulnerability assessment, this process should be done prior to developing a COOP plan. A properly completed BIA ensures that a department knows the consequences of a disruption or degradation to its business functions. Risk is the potential for exposure to loss, which is determined by using qualitative and quantitative measures. Vulnerability is a weakness that can subject the organization to a risk, or worsen its impact. Identifying and assessing the vulnerabilities of a department, and the risks it faces, helps to ensure the most likely risks, with the greatest potential impacts, are considered. These risks can then be mitigated against and planned for. While, the risk and vulnerability assessment documents help to prioritize the vulnerabilities and risks faced by a department, a BIA helps identify a department's essential functions.

In collaboration with the Virginia Information Technology Agency (VITA), the Virginia Department of Emergency Management (VDEM) posted a sample BIA Template online. The template is a tool to assist in performing a Business Impact Analysis (BIA). It serves as a comprehensive resource, allowing departments to fully assess the loss of a function and the related impact rather than specific emergency events.

The template is designed to be used once departments have compiled a listing of all of their business functions. Each function then is analyzed using this template and the results recorded. The weights of the risk factors should be modified by the department to customize them to the department's environment. The template organizational nomenclature may be revised to meet individual department structures.

When all business functions have been analyzed the overall results are then entered into the BIA Overall template (separate worksheet) to project an overview of the impact of all functions. The COOP Team should then meet to normalize the results and provide consistency. Once final, the COOP Team must decide where to draw the line to designate which functions are essential. There also may be some functions that are only performed in an emergency and the department may wish to add those in without scoring.

These essential functions will serve as the basis for the COOP Worksheets.

Department personnel who perform essential functions should be familiar with the risks and vulnerabilities of their department processes and facilities, and recognize how those risks could affect their essential functions. Knowledge of potential risks and vulnerabilities gives them the opportunity to consider possible mitigation strategies that could be used to alleviate some or all of the risks. For example, assessing a facility's location and realizing that an essential piece of information technology hardware, like a server, is located in the basement that has the potential to flood is a risk that needs to be addressed. The mitigation strategy may be to relocate the equipment or elevate it so it is not at risk for flooding.

Risk mitigation strategies can be developed to address locality-, facility- and function-based risks.

Examples include:

- **Environmental-based risk.** Severe storms or flooding impact the whole community. Are there enough personnel and resources to respond effectively?
- **Facility-based risk.** This could include a building that is located in a flood plain. Are there vital records, equipment or systems located in the basement?
- **Function-based risk.** An example could be a lack of cross-training or back-up personnel for payroll. If the one person who does payroll is unavailable or could not get to work, could someone else perform the function?

If a risk assessment has not been done previously, **Worksheets #12** and **#13** can assist in identifying risks. Conducting a preliminary risk assessment in many ways serves as a precursor to a successful COOP Program in that it aids in the identification of essential functions, and it identifies critical components of an organization. After identifying each risk, mitigation strategies can be developed and implemented to reduce exposure to known hazards.

Please see the included Excel document to assist in the development of the department BIA.

An example template with information filled in as a reference is available at <http://www.vaemergency.com/library/coop/resources/index.cfm>.

## **Continuity of Operations (COOP) Worksheets**

The use of these worksheets is encouraged. They are tools to help you gather the raw data needed to develop a COOP plan. You may modify them to fit the needs of your department. If at any point throughout the planning process you need more information the Local Government Planning Manual is available online. The manual is intended to offer both procedural and operational guidance for the preparation and implementation of a COOP plan.

[http://www.vaemergency.com/library/coop/local\\_govt/index.cfm](http://www.vaemergency.com/library/coop/local_govt/index.cfm)

- Worksheet #1: Essential Functions Description and RTO
- Worksheet #2: Vital Records, Systems and Equipment
- Worksheet #3: Vital Records, Systems and Equipment Protection Methods
- Worksheet #4: External Contact List
- Worksheet #5: Orders of Succession
- Worksheet #6: Delegations of Authority
- Worksheet #7: Summary of Resource Requirements for Essential Functions
- Worksheet #8: Alternate Facilities Options
- Worksheet #9: Alternative Modes of Communication
- Worksheet #10: Personnel Contact List (Rapid Recall List)
- Worksheet #11: COOP Plan Implementation Procedures Checklist
- Worksheet #12: Local Government Function Risk and Vulnerability Assessment
- Worksheet #13: Facility Risk and Vulnerability Assessment

## **Pandemic Influenza COOP Worksheets**

The focus of COOP planning for pandemic influenza is on the efficient and effective management of limited human resources. It reveals the interdependencies each department has on others to provide or receive essential services or functions with limited human capital.

<http://www.vaemergency.com/library/coop/panflu/index.cfm>

- Worksheet #1a: Assumptions
- Worksheet #2a: Essential Personnel and Cross-Training
- Worksheet #3a: Closure of Service Locations
- Worksheet #4a: Off-site Functions
- Worksheet #5a: Alternate Work Schedules
- Worksheet #6a: Internal and External Vendors and Contractors
- Worksheet #7a: Workforce Protection
- Worksheet #8a: Pandemic Influenza COOP Annex Checklist
- Worksheet #9a: Annex Execution and Activation

## Worksheet #1: Essential Functions Description and RTO

Essential functions are those functions that:

- Provide vital services;
- Exercise civil authority;
- Maintain the safety of the general public; and
- Sustain the industrial and economic base of the area during an event.

There is no one way to identify essential functions; however, the following method may expedite the identification process. **First, evaluate the functions that provide critical resources or services to the City of Richmond.** For example, 911 emergency communications provide the critical link between citizens and emergency response agencies such as fire, police or emergency medical assistance and thus are essential. Likewise, Public Works personnel clear roads of snow or debris. **Second, review those services that are required by law or regulations.** For example, providing water and wastewater services may be mandatory via state and federal regulations. **Third, review the current budget.** For example, if the department budget had to be cut by 10 percent, what services would continue to be provided? Which services would you curtail or cease? Reviewing the budget will help identify those “core functions” that are necessary for continuation of services and therefore deemed “essential.”

During an event, the City of Richmond will have limited resources to get operations back to normal; therefore, it is important to prioritize essential functions. To help prioritize functions, determine the recovery time objective (RTO) for each function. The RTO is the maximum time period that a function or service can be interrupted before it must be restored to an acceptable level of operation. For some functions the recovery time objective may be zero.

Use the table below to list the functions identified by the department. Next, briefly describe the function and why it is essential. Finally, designate its recovery time objective (RTO) or the period of time in which the essential function must be recovered after an interruption. The goal is to determine which functions would need to be operating first in case resources are not available for all functions to be operating immediately.

Examples of functions commonly provided by local governments that may be considered essential include:

- Preservation of life and property (public safety, including police, fire and emergency medical services);
- 911 Emergency Communications;
- Solid waste operations;
- Social and human services;
- Payroll and employee relations;
- Public information;
- Cash flow management; and
- Investment of local government funds.

<b>Function</b>	<b>Description of Function</b>	<b>RTO</b>

## Worksheet #2: Vital Records, Systems and Equipment

In COOP planning, vital records, systems and equipment are critical in carrying out essential functions. Vital records are records that, if damaged or destroyed, would disrupt operations and information flow and require replacement or re-creation at considerable expense or inconvenience. Vital records are those records that are necessary to carry out essential functions. Content, not media, determines their criticality. They are most frequently in one of three formats: paper, electronic or microfilm. Some examples of vital records include, but are not limited to:

- Personnel records;
- Operational procedures;
- Contract records;
- Insurance policies or records;
- Mutual aid agreements; and
- Executive policies.

A COOP plan includes a system of protection and recovery of vital records for both events and normal operations. For a COOP plan, it is important to assess any existing vital records program and then address any gaps. If no program exists, it is important to develop a program that provides for the effective protection, preservation and recovery of records.

There are three types of vital records:

**Static Records:** Those that change little, or not at all, over time. Examples of static records might be policies or directives.

**Active Records:** Those that change constantly with day-to-day activities or as work is completed. An example of an active record is debt management.

**Court Records:** The local government must coordinate with the local Constitutional Officer to preserve vital court records within the local circuit and district courts of Virginia. Refer to Commonwealth of Virginia Rule 1:15 for general information on circuit and district courts of Virginia.

Static, active and court records are all considered vital and should be preserved so operations can be maintained or quickly resumed following an interruption.

Using the table below, list the records, systems and equipment that are necessary to continue essential functions. Include the networks or servers that must also be operational to support the equipment and systems. Records can be in electronic or paper form. If it is electronic, list the software used. Also, identify the type of vital record – active, static or court.

Do not include records, systems or equipment that may be useful but are not essential to performing the service.



<b>Essential Function</b>	<b>Vital Record</b>	<b>Equipment or Systems</b>	<b>Networks or Servers that must be Operational to Support the Critical System or Equipment</b>	<b>Description</b>	<b>Form and Type of Record or System</b>	<b>RTO</b>
<i>Paying personnel</i>	<i>Payroll Records</i>	<i>Computer; Pay-All software systems</i>	<i>Intel Network</i>	<i>Records are needed to pay personnel</i>	<i>Electronic; Active</i>	<i>Less than 72 hours</i>
<i>Cash Flow Management</i>	<i>Cash Balances</i>	<i>Computer</i>	<i>Direct Website</i>	<i>Monitoring of cash balances and transfers</i>	<i>Electronic, Active</i>	<i>0 to 12 hours</i>



### Worksheet #4: External Contact List

The External Contact List is a list of critical external and vendor contact information. The list should include all vendors and external departments or resources that are called upon during day-to-day operations as well as emergencies. Contact information should not bypass routine practice for interacting with vendors. For example, if an IT system is disrupted a department would contact the Department of Information Technology which would in turn contact the appropriate vendor.

External Contact	Point of Contact	E-mail Address	Office #	Cellular or Pager #	Customer Service #

### Worksheet #5: Orders of Succession

Using this worksheet, designate the appropriate orders of succession for each essential function. In the first column, list the essential functions located in Worksheet #1, Priority of Essential Functions. In the second column, list the key position or person who is essential to performing the function. Then in the remaining columns, list the positions that would serve as successors if the key position or person is unavailable unexpectedly i.e., illness, injury, vacation or termination of employment, among others. The same successors might be named for different key positions, but avoid designating the same position or person as the first successor to several key positions. Be sure to include both the title of the position and the individual who fills the position in each box.

<b>Essential Function</b>	<b>Key Personnel</b>	<b>Successor 1</b>	<b>Successor 2</b>	<b>Successor 3</b>

### Worksheet #6: Delegations of Authority

Identify the function and the type of authority to be delegated. List the position currently holding the authority and who the authority will be delegated to. Then list the triggering conditions under which the authority would be delegated, the procedures to operate under and the limitations of the authority. The first row provides an example.

Authority (Function)	Type of Authority	Position Holding Authority	Delegation to Position	Triggering Conditions	Procedures	Limitations
<i>Contracts</i>	<i>Signature Authority</i>	<i>Attorney</i>	<i>Assistant Attorney</i>	<i>Incapacitated or unavailable</i>	<i>Internal policy</i>	<i>Upon return of the incumbent</i>

## Worksheet #7: Summary of Resource Requirements for Essential Functions

Worksheet #7 summarizes the resource requirements for essential functions into a single worksheet. Using information gathered in Worksheets 1, 2, 4 and 5, transfer the relevant information to the appropriate column in Worksheet #7.

Essential Function	Key Personnel and Back-up	Vendors and External Contacts	Vital Records	Equipment	Systems	RTO

### Worksheet #8: Alternate Facilities Options

Departments should identify at least two alternate facilities. One location can be close to the current operations – not right next door, but within a short distance. The second alternate facility should be further away – at least five miles from the primary facility. Please sure to consider requirements like space for key personnel, back-up power, communications and parking.

Facility	Address	Agreement	Date Executed	Security	Secure Storage Available?	Special Notes

### Worksheet #9: Alternative Modes of Communication

For each mode of communication listed, identify the current provider, alternative providers and/or alternative modes of communication. Communication systems already in place can be named as alternatives for other modes of communication. For example, radios could be an alternative mode of communication for voice lines.

<b>Communication System</b>	<b>Current Provider</b>	<b>Alternative Provider</b>	<b>Alternative Mode #1</b>	<b>Alternative Mode #2</b>
<b>Voice Lines</b>				
<b>Fax Lines</b>				
<b>Data Lines</b>				
<b>Cellular telephones</b>				
<b>Pagers</b>				
<b>E-mail</b>				
<b>Internet Access</b>				
<b>Blackberry and Other Personal Digital Assistants (PDAs)</b>				
<b>Radio Communication Systems</b>				
<b>Satellite Telephones</b>				
<b>Other</b>				



## Worksheet #10: Personnel Contact List (Rapid Recall List)

The Personnel Contact List is a short document with a cascade call list that includes critical numbers. The cascade list should include the COOP Team, key personnel and emergency personnel, both inside and outside the department. If this information is available in another document reference the information here or in the plan.

<b>Employee Cascade List</b>	<b>E-mail Address</b>	<b>Work #</b>	<b>Home #</b>	<b>Cellular or Pager #</b>
<b>Local Elected Official</b>				
<b>COOP Team</b>				
▪ <b>Employee A</b>				
▪ <b>Employee B</b>				
▪ <b>Employee C</b>				
▪ <b>Employee D</b>				
▪ <b>Employee E</b>				
<b>Key Personnel and Management</b>				
▪ <b>Employee F</b>				
▪ <b>Employee G</b>				
▪ <b>Employee H</b>				
▪ <b>Employee I</b>				
▪ <b>Employee J</b>				

<b>Emergency Personnel</b>	<b>Telephone Number(s)</b>
<b>Fire Department</b>	
<b>Police Department</b>	
<b>Richmond Ambulance Authority</b>	
<b>Local Emergency Operations Center</b>	
<b>Employee Emergency Hotline</b>	
<b>Alternate Facility Contacts</b>	

## Worksheet #11: Sample COOP Plan Implementation Procedures Checklist

Item	Task	Task Assigned To	Date and Time Completed
<b>Activation and Relocation</b>			
1	Receive notification of event		
2	If necessary, conduct evacuation		
3	Conduct a headcount of personnel		
4	If necessary, contact Emergency Responders (fire, police, EMS)		
5	Ensure that safety measures are put into effect		
6	Contact the Building Maintenance Department for shutting down utilities to limit further damage		
7	Direct and assist emergency personnel, as required		
8	If needed, invoke succession of leadership		
9	Initiate personnel notification using Rapid Recall List		
10	Activate the department's Continuity of Operations Plan		
11	Hold department's response meeting at predetermined site		
12	Assemble supporting elements required for re-establishing and performing essential functions at alternate location: <ul style="list-style-type: none"> <li>■ Vital files, records and databases</li> <li>■ Critical software</li> <li>■ Critical equipment</li> </ul>		
13	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate location		
14	Initiate external communication for applicable external contacts		
15	Prepare designated communications and other equipment for relocation		

<b>Item</b>	<b>Task</b>	<b>Task Assigned To</b>	<b>Date and Time Completed</b>
16	Take appropriate preventive measures to protect other communications and equipment that will not be relocated		
17	Make computer connectivity and telephone line transfers to designated alternate location		
18	Ensure drive-away kits are complete and ready for transfer		
19	Begin movement of key personnel to alternate location		
20	Provide support to local Emergency Operations Center, if required		
21	Develop detailed status of situation for senior leadership		
22	Notify remaining personnel and appropriate departments for movement to alternate location		
<b>Alternate Facility Operations</b>			
23	Notify other local departments, customers, state and surrounding jurisdictions that operations have shifted to alternate location		
24	Organize personnel and account for non-essential personnel		
25	Develop shift rotations		
26	Determine which essential functions have been affected		
27	Develop status report		
28	Prioritize essential functions for restoration		
29	Track status and restoration efforts of all essential functions		
30	Administrative actions to assemble such as: <ul style="list-style-type: none"> <li>■ On-site telephone</li> <li>■ E-mail and telephone directory</li> <li>■ Workforce office plan</li> <li>■ Lodging and dining plan as appropriate</li> </ul>		

Item	Task	Task Assigned To	Date and Time Completed
31	Occupy workspace: <ul style="list-style-type: none"> <li>■ Stow gear and equipment</li> <li>■ Store vital files, records and databases</li> <li>■ Test telephone, fax, e-mail, radio and other communications</li> <li>■ Establish communications with essential support elements and office elements</li> </ul>		
32	Ensure all critical equipment, critical software and vital files, records and databases are available at alternate location		
33	Coordinate procurement of additional equipment, as required		
<b>Reconstitution</b>			
34	Resume operations		
35	Appoint logistics manager		
36	Inventory and salvage useable equipment, materials, records and supplies from destroyed facility		
37	Survey condition of office building and determine feasibility of salvaging, restoring or returning to original offices when emergency subsides or is terminated		
38	Develop long-term reconstitution and recovery plans		
39	Track status and restoration efforts of all essential functions		
40	Conduct transition of all functions, personnel and equipment from alternate location back to designated facility		
41	Determine loss of the department's inventory for insurance report		
42	Schedule initial review meeting with clients, public and vendors to hold a briefing		
43	Develop and communicate a press release		

## Worksheet #12: Function Risk and Vulnerability Assessment

The Risk and Vulnerability Assessment is an evaluation of the City of Richmond’s risks and vulnerabilities that have the potential for consequences in terms of property damage, interruption of essential functions or possible human injury. Two examples are provided.

**Risk:** Probability of how likely is an event to occur to expose this risk? (H - within 5 years; M - within 25 years; L - within 50 years)

**Vulnerability:** How severe is the potential impact if this risk is not addressed?

(H - More than 25 percent of essential functions impacted; M – 5 percent to 25 percent of essential functions impacted; L - <5 percent of essential functions impacted)

If a risk assessment has not previously been completed, use the following worksheet to identify current risk and vulnerabilities faced by the City of Richmond.

**City of Richmond Function Risk Overview**

Risk Overview	Risk Level	Vulnerability	Description or Comment
City of Richmond succession plans not in place			
Inadequate alternate site recovery procedures			
Inadequate building and physical security			
Inadequate fire suppression equipment			
Inadequate off-site storage of documents and files			
Inadequate record and file back-up procedures and record keeping			
Insufficient staffing or training			
Insufficient virus and hacker protection			
Key employee back-ups either not designated or not sufficiently cross-trained			

<b>Risk Overview</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>Lack of alternate voice and emergency communications networks</b>			
<b>Lack of interoperability of emergency communications networks</b>			
<b>No adequate alternate site designated</b>			
<b>No alternate power sources for department location</b>			
<b>No secure fire protected onsite storage of documents and files</b>			
<b>Single point of failure for equipment and or networks</b>			
<b>Unsafe physical condition of department office or building</b>			
<b>Lack of procedures and testing for record and file recovery</b>			

## Worksheet #13: Facility Risk and Vulnerability Assessment

A facility Risk and Vulnerability Assessment is an evaluation of the facility risks and vulnerabilities that have the potential for consequences of property damage, business interruption or human injury.

Note: This worksheet should be completed for each key facility and by the person responsible for facility maintenance either within the local jurisdiction or building. Local governments can refer to their existing Hazard Mitigation Plan for additional facility risk and vulnerabilities that may have been identified.

**Risk Level:** H - applies at all times; M - applies only some of the time; L - rarely applies

**Vulnerability:** H - impact to the operations will be great if the event did occur; M - impacts some of the operations, but not all of the operations; L - minimal impact to critical operations

### Facility Risk Overview – Air Conditioning

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are air conditioning system and power supply separate from the rest of the facility?				
Is there back-up air conditioning available?				
Are switches easily accessible?				
Are air conditioning and emergency shutoff switches linked?				

### Facility Risk Overview – Electricity and Telecommunications

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Where are generators and transformers located?				
Is there an emergency lighting system for facility?				

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>Is the facility protected against power surges?</b>				
<b>Are there back-up power sources available to facility? Please specify.</b>				
<b>Do alternate voice and data transmission services exist?</b>				
<b>Is there a shutdown checklist provided in case of emergency?</b>				

**Facility Risk Overview – Facility Access Control**

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>What are the procedures to guard against vandalism, sabotage and unauthorized intrusion?</b>				
<b>Are there windows that can be broken to gain access to the facility?</b>				
<b>What are the procedures for personnel to handle unauthorized intruders?</b>				
<b>What are the procedures for personnel to handle bomb threats?</b>				
<b>What are the procedures for personnel to handle notification of local</b>				



<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
law enforcement?				
Are security devices checked and tested on a regular basis?				
Are there access controls during regular hours to facility?				
Are there access controls during off-hours to facility?				

**Facility Risk Overview – Fire Exposure**

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
Are the areas surrounding the facility protected from fire? Please specify.				
Are the flooring and ceiling materials non-combustible?				
Can the walls in the facility resist the spread of fire?				
Can the doors in the facility resist the spread of fire?				
Can the partitions in the facility resist the spread of fire?				
Can the floors in the facility resist the spread of fire?				
Can the furniture in the facility resist the spread of fire?				
Can the window coverings in the				

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>facility resist the spread of fire?</b>				
<b>Does the facility have adequate automatic fire extinguishing systems?</b>				
<b>Are flammable or otherwise dangerous materials and activities prohibited from the facility and surrounding areas?</b>				
<b>Are paper and other supplies stored in open areas in the facility?</b>				
<b>Is there fire and smoke detection equipment in facility?</b>				
<b>Are portable fire extinguishers in suitable locations?</b>				
<b>Are clear and adequate fire instructions clearly posted?</b>				
<b>Are the fire alarm switches clearly visible, unobstructed and easily accessible at points of exit?</b>				
<b>Can the fire alarm be activated manually?</b>				
<b>Is there an emergency evacuation exit, different from the main entrance or exit?</b>				
<b>Is there an evacuation plan posted?</b>				

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>Does emergency power shut down the air conditioning?</b>				
<b>Is fire and smoke detection equipment checked and tested on a regular basis? How often?</b>				
<b>Can emergency crews easily gain access to the facility?</b>				
<b>Are fire drills held on a regular basis? How often?</b>				

**Facility Risk Overview – General Housekeeping**

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>Is the facility kept clean and orderly?</b>				
<b>Are food and beverages confined to a designated area?</b>				
<b>Is smoking banned in the facility?</b>				
<b>Is there adequate lighting for all areas?</b>				

**Facility Risk Overview – Organization and Personnel or Other**

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>Are personnel responsible for facility security?</b>				
<b>Have recovery teams for the facility been selected in the event of a disaster?</b>				
<b>Are there mail or package handling procedures posted? (e.g. chemical or biological or explosives)</b>				

**Facility Risk Overview – Other Natural Disaster Exposures**

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>Are you aware of the wind tolerance of the facility? Please specify.</b>				
<b>Is the facility in or near a flood plain?</b>				
<b>Are flood mitigation procedures in place?</b>				
<b>Is all of the electrical equipment grounded for protection against lightning?</b>				

**Facility Risk Overview – Water Damage**

<b>Risk Overview</b>	<b>Risk Y/N</b>	<b>Risk Level</b>	<b>Vulnerability</b>	<b>Description or Comment</b>
<b>Are documents, records and equipment stored above ground and protected from flooding?</b>				
<b>Are lower facility rooms protected from leaks in overhead water pipes?</b>				
<b>Is there protection against accumulated rainwater or leaks in the rooftop?</b>				
<b>Are floor level electrical junction boxes protected?</b>				

## Pandemic Influenza COOP Worksheet #1a: Assumptions

### Department-Specific Assumptions

Each department should identify any department-specific assumptions that would impact the planning for pandemic influenza. Examples are listed below:

Identify and list additional department-specific assumptions
1. <i>(Insert department name)</i> will be operational during a pandemic influenza outbreak.
2. <i>(Insert department name)</i> will support social distancing practices to the greatest extent possible, as directed by health officials. This might include authorizing staff to work off-site or establishing alternate shifts to reduce staff interaction.
3. <i>(Insert essential function)</i> that is normally performed face-to-face, might be performed via electronic means in order to reduce contact between persons.

## Pandemic Influenza COOP Worksheet #2a: Essential Personnel and Cross-Training

List the department's essential functions from the COOP plan in their prioritized order. In the next column, identify the positions that can perform the function. When considering upwards of a 40 percent absenteeism rate, strive to have four to five persons who can perform essential functions. In the event four to five persons cannot perform the essential function, identify which positions could easily be cross-trained to perform the function. The number of people that need to be cross-trained will depend on how many people already know how to perform the function. For example, three people know how to do payroll. It is suggested that you identify two additional people that can be cross-trained that could perform payroll functions. An example is provided on the first line. Each department will need to determine how many people need to be cross-trained and realistic expectations for cross-training.

Essential Function	Positions/Persons who can perform this function	Positions/Persons who can be cross-trained for this function
<i>Payroll</i>	<ol style="list-style-type: none"> <li>1. <i>HR Manager</i></li> <li>2. <i>HR Coordinator</i></li> <li>3. <i>Benefits Coordinator</i></li> </ol>	<ol style="list-style-type: none"> <li>1. <i>Finance Coordinator</i></li> <li>2. <i>Finance Manager</i></li> </ol>
	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> <li>5.</li> </ol>	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> <li>5.</li> </ol>
	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> <li>5.</li> </ol>	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> <li>5.</li> </ol>

### **Pandemic Influenza COOP Worksheet #3a: Closure of Service Locations**

If the department does not have more than one service location or does not provide services at more than one location, skip this worksheet. If the department provides services at more than one location, list the order in which service locations should be closed for the purposes of consolidating staff. This is applicable to similar services that are offered in multiple locations. The plan will need to include procedures for re-assigning staff to work at another location when their normal work location is closed.

<b>Location to Close</b>	<b>Closure Priority (1<sup>st</sup>, 2<sup>nd</sup>, last)</b>	<b>Address</b>



### Pandemic Influenza COOP Worksheet #4a: Off-Site Functions

Review the essential functions from the COOP plan. Determine which of these functions might be performed off-site (i.e., from home or alternate worksite), with the proper equipment and/or remote access to internal computer systems, and list them below. Indicate if a home computer can be used or if the department requires issue of their computer to grant access to internal computer systems. Policies and procedures for each department regarding working off-site need to be defined. For example, what are the expectations regarding how work time will be accounted for and documented? If a home computer is used, is the employee eligible for any type of reimbursement for use of their personal internet connection? Action steps for addressing identified information technology gaps should be established and implemented within a timely manner.

Function that might be Performed at Home or Off-site	Equipment / Software to Support Function	Remote Access to Network System Required (yes/no)	Use Home Computer (yes/no)	Access Already Granted (yes/no)

### **Pandemic Influenza COOP Worksheet #5a: Alternate Work Schedules**

In addition to staff working from alternate locations, consider assigning staff to alternate work shifts to support social distancing. In work areas where staff is confined to a small space, such as cubicles, consider assigning half of the staff to work from 7:00 a.m. – 3:30 p.m. and the other half of the staff to work from 3:30 p.m. – midnight.

Identify functions that are performed by staff working in close proximity to each other.

- 1.
- 2.
- 3.

Identify work shifts that are suitable for the department.

**Shift A** \_\_\_\_\_

**Shift B** \_\_\_\_\_

<b>Function</b>	<b>Position and Name of Staff</b>	<b>Shift A or B</b>



## Pandemic Influenza COOP Worksheet #7a: Workforce Protection

Efforts should be made to stay informed of current recommendations from the health department, CDC, OSHA and other appropriate sources regarding worker safety and infection control. Ensure the general public and customers are informed of any changes the department makes to daily operations.

From the list below which was developed from OSHA and Virginia Department of Health (VDH) guidelines, highlight which measures the department will take to help control the spread of disease. Below each measure selected identify steps that need to be taken to implement the infection control measure. This also might help to reduce absenteeism for seasonal influenza. The first measure listed has been completed as an example.

- Provide employees and customers with easy access to soap and warm water, hand sanitizers, gloves, surgical masks, N95 masks, safety glasses, tissues, sanitizing wipes, and other office cleaning supplies. Consider stockpiling these supplies. Stockpiles should be rotated using the oldest first and ensure proper storage conditions for products.

**Action steps for implementation:**

*Purchase and stockpile hand sanitizer and surgical masks. Identify proper storage locations and conditions for supplies. Develop distribution procedures.*

- Install hand sanitizer dispensing units throughout facilities.

**Action steps for implementation:**

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- Use no-touch trash containers.

**Action steps for implementation:**

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- Have all staff watch VDH's Influenza Pandemic video to learn about how to reduce the spread of disease such as pandemic influenza.

**Action steps for implementation:**

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- Educate employees on proper hand washing techniques. VDH has developed a "Cover Your Cough" poster, which also addresses cleaning hands. It is available at [www.vdh.virginia.gov/pandemicflu](http://www.vdh.virginia.gov/pandemicflu).

**Action steps for implementation:**

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- Train employees on proper use and fit for wearing and removing masks and other personal protective equipment (PPE). Follow recommendations issued by the Virginia Department of Health or the Centers for Disease Control and Prevention.

**Action steps for implementation:**

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- Educate employees on cough etiquette. VDH has developed the “Cover Your Cough” posters available at [www.vdh.virginia.gov/pandemicflu](http://www.vdh.virginia.gov/pandemicflu).

**Action steps for implementation:**

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- Install barrier protections such as sneeze guards or other clear barriers in offices that serve the general public. Consider the use of drive-through windows for offering public services.

**Action steps for implementation:**

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- Provide customers with surgical masks and ask them to wear them while seeking services.

**Action steps for implementation:**

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- Encourage employees to obtain seasonal flu shots.

**Action steps for implementation:**

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- Require employees to stay at home if they are ill or at the first signs they might become ill.

**Action steps for implementation:**

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- Employees should clean frequently touched work surfaces such as telephones, computer equipment, and steering wheels of department vehicles or shared vehicles regularly.

**Action steps for implementation:**

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- Consider limiting access or reducing the number of entry and exit points for the general public to your facility.

**Action steps for implementation:**

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Are there any additional infection control measures that might be required by the department? If so, please list them and their associated action steps for implementation below.

Infection Control Measure	Action Steps for Implementation

## **Pandemic Influenza COOP Worksheet #8a: Pandemic Influenza COOP Annex Checklist**

- Convene Department COOP Team
- Review Department COOP Plan
- Review pandemic influenza planning assumptions
- Develop department specific planning assumptions for pandemic influenza
- Review essential functions
- Ensure essential functions are prioritized
- Identify cross-training needs of staff to ensure at least three and preferably five persons can perform essential functions
- Identify functions that can be performed off-site
- Establish procedures associated with staff working off-site
- Identify orders of succession five to six deep for key personnel
- Determine the order of service location closures (for same services offered at multiple locations)
- Identify staff who can work alternate work schedules.
- Establish alternate work schedules (i.e., staggered hours to support social distancing).
- Identify vendor or department needs and contingency options for services should primary vendor or department not be able to provide service(s)
- Review human resource management guidance and policies
- Determine if additional human resource procedures are needed within the department
- Establish human resource procedures as needed
- Review infection control measures
- Establish procedures for mitigating the spread of disease by identifying infection control measures that the department will take
- Educate staff on how to control the spread of disease
- Ensure good communication strategy with staff
- Document the information identified above in the pandemic influenza annex
- Distribute and train staff on department's plan and annex

**Pandemic Influenza COOP Worksheet #9a: Annex Execution and Activation**  
**WHO Global Pandemic Phases and the**  
**Stages for Federal and State Government Response**

<b>WHO Phases</b>		<b>Federal and State Government Response Stages</b>	
<b>Inter-Pandemic Period</b>			
<b>1</b>	No new influenza virus subtypes have been detected in humans. An influenza virus subtype that has caused human infection might be present in animals. If present in animals, the risk of human disease is considered to be low.	<b>0</b>	New domestic animal outbreak in at-risk country.
<b>2</b>	No new influenza virus subtypes have been detected in humans. However, a circulating animal influenza virus subtype poses a substantial risk of human disease.		
<b>Pandemic Alert Period</b>			
<b>3</b>	Human infection(s) with a new subtype but no human-to-human spread or, at most, rare instances of spread to a close contact.	<b>0</b>	New domestic animal outbreak in at-risk country.
		<b>1</b>	Suspected human outbreak overseas.
<b>4</b>	Small cluster(s) with limited human-to-human transmission but spread is highly localized, suggesting that the virus is not well adapted to humans.	<b>2</b>	Confirmed human outbreak overseas.
<b>5</b>	Larger cluster(s) but human-to-human spread still localized, suggesting that the virus is becoming increasingly better adapted to humans, but might not yet be fully transmissible (substantial pandemic risk).		
<b>Pandemic Period</b>			
		<b>3</b>	Widespread human outbreaks in multiple locations overseas.
		<b>4</b>	First human case in North America.
		<b>5</b>	Spread throughout United States.



WHO Phases		Federal and State Government Response Stages	
6	Pandemic phase: Increased and sustained transmission in general population.	6	Recovery and preparation for subsequent waves.

List the department’s identified actions based on the pandemic influenza phases. Identify and list additional actions as appropriate. The first stage has been completed as an example.

STAGE 1 – Suspected Human Outbreak Overseas	
ACTION	Develop, train, and exercise COOP and emergency management plans for a pandemic influenza event.
ACTION	Develop communications plan.
ACTION	Review resource inventories and sustainability of supply chains.
ACTION	
ACTION	
STAGE 2 – Confirmed Human Outbreak Overseas	
ACTION	
ACTION	
ACTION	
ACTION	
ACTION	
STAGE 3 – Widespread Outbreaks Overseas	
ACTION	
ACTION	
ACTION	
ACTION	
ACTION	
STAGE 4 – 1 <sup>st</sup> Human-to-Human Case in North America	
ACTION	
ACTION	
ACTION	

<b>STAGE 5 – Spread throughout U.S.</b>	
ACTION	
ACTION	
ACTION	
ACTION	
ACTION	
<b>STAGE 6 – Recovery/Preparation for Subsequent Waves</b>	
ACTION	
ACTION	
ACTION	
ACTION	
ACTION	