Continuity of Operations Plan (COOP) Evaluation Checklist

The checklist is intended to be a resource to ensure that Continuity of Operations Plans (COOPs) meet acceptable planning standards and help organizations identify where they may want to focus their emergency preparedness efforts. The standards noted below may be found in NFPA 1600/EMAP, FEMA/HSPD-20 guidance, or are generally accepted planning standards and practices.

Agency/Organization Name: _____ Plan Date: _____

Review Date: _____ Reviewer: _____

Element Reference Key	(1) NFPA 1600/EMAP (2) FEMA/HSPD-20 guidance (3) Generally accepted planning standards and practices	
Basic Plan Components	**Element is addressed/ not addressed in the COOP** List section and page numbers, where applicable	**Reviewer's Notes** If No is checked, then write an explanation and/or course of action for rectifying the planning gap
Professionalism/Craftmanship (3) content; organization; style; mechanics; fluency	☐ Yes ☐ No	
Executive Summary (3)	☐ Yes ☐ No	
Inside of Front Cover signatory or approval page; effective date of plan	☐ Yes ☐ No	
Promulgation (1,2,3) signed/approved by agency leadership	☐ Yes ☐ No	
Plan Revision History and Distribution List (3) distribution table; plan revision table; dates of revision	☐ Yes ☐ No	
Table of Contents (3) include any annexes or appendices	☐ Yes ☐ No	
Executive Summary/Policy (1,2,3)	☐ Yes ☐ No	

address the agency's policy regarding continuity of operations		
Comprehensive Approach (1,3) include an all-hazards approach and all phases of the emergency management cycle	□ Yes □ No	
Management Responsibilities and Authority (1,2,3) provide definitions of responsibilities of management; outline basic strategies/emergency management responsibilities of each agency/section; delegation of decision-making authority and limitations	□ Yes □ No	
Section I: General Considerations and Planning Guidelines	□ Yes □ No	
Introduction (3) brief overview of what information is included in the COOP; definition of COOP; overview/background of what plan encompasses; general statement of internal/external impact of emergency/disaster on agency; overview of efforts taken to minimize effects on day-to-day operations; supporting documents reference; identification of how plan is communicated within the agency	□ Yes □ No	
Purpose (1,3) state the reason for developing the plan with the goal of identifying and assessing/prioritizing MEFs; identify efforts made to ensure continuous delivery/minimal interruption to agency MEFs; identify and briefly discuss available resources	□ Yes □ No	
Scope (1,3) or Goals and Objectives (1) identifies and explains what COOP does and does not apply to; indicate what the plan is used for; identify relationship with occupant emergency plan (OEP)	□ Yes □ No	
Situation (1,3) clearly describes a continuity environment within the agency; identify and analyze potential scenarios from the risk assessment	□ Yes □ No	
Planning Assumptions (1,3) outline the expectations used for the planning process based on planning, research, and real-life events; what the agency can expect to experience when entering the	□ Yes □ No	

continuity environment, expected impact and operational challenges; identify operational adjustments; identify the need to devolve and/or delegate functions; identify unique needs of the agency and anticipated effects on clients/stakeholders		
Concept of Operations (1,3) outline the anticipated sequence of events before, during, and after the continuity environment; identify the role of the Continuity Manager and the relationship to Crisis Management Team	☐ Yes ☐ No	
Authority (1,2,3) outline of authority to undertake this planning effort	☐ Yes ☐ No	
Plan Maintenance and Distribution (1,3) reviewed and updated annually; identify by position the responsible party; identify and document a schedule of annual updates; identify the process for updating and training to follow plan changes	☐ Yes ☐ No	
Section II: Preparedness	☐ Yes ☐ No	
Overview (3) outline the measures taken to adequately manage risk, increase resilience, and steps taken to ensure continuance of essential functions	☐ Yes ☐ No	
Continuity Plan / Continuity Program Management (1,2,3) provide a brief introduction to the program management; roles and responsibilities of the Continuity Program Manager (CPM,1,2,3), Continuity Planning Team (CPT, 1,2,3), and Crisis Management Team (CMT, 3)	☐ Yes ☐ No	
Risk Assessment (1,2,3) use a recognized methodology to assess, rank, and steps taken to prevent/mitigate internal/external risks	☐ Yes ☐ No	
Mission Essential Functions (MEFs) (1,2,3) identify the logic/process in assessing MEFs in order of priority	☐ Yes ☐ No	
Facility Overview (3) identify the agency's resilience from a facility perspective	☐ Yes ☐ No	

Alternate Facility (1,2,3) organization has taken steps to identify potential work site(s)	☐ Yes ☐ No	
Business Impact Analysis (BIA) (1,3) assess the impact of the loss of mission essential functions on the organization	☐ Yes ☐ No	
Business Process Analysis (BPA) (1,3) identify the supplies, equipment, technology or persons/needed to ensure the continuance of mission essential functions; mission essential systems, files, records, data; resources and logistics; assessment of dependencies and interdependencies; identify internal and external contracts which support the agency's identified MEFs (1,2,3)	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	
Mitigation Measures **Protecting or Safeguarding Critical Applications and Data** prioritize list of applications (3); mitigation, protection, and safeguarding of critical applications as a preparedness activity (1,3) **Protecting or Safeguarding Vital Records** prioritize list of vital records and data (1,2,3); mitigation, protection, and safeguarding of vital records as a preparedness activity (1,2,3)	☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No	
Continuity of Communications (1,2,3) identification and assessment of communications	☐ Yes ☐ No	

Mission Essential Staff and Lines of Succession (1,2,3) identification of, roles of, and expectations of mission essential staff;	□ Yes □ No	
line of succession 3 layers for each essential position	□ Yes □ No	
Devolution (2) and Delegation of Authority (2) identify the basic tenets of the devolution plan; identify concept of delegation of authority	□ Yes □ No	
Occupant Emergency Plans (OEPs) (3) document the presence and scope/application of the OEP	□ Yes □ No	
Resource Requirements and Outstanding Logistical Support (1,2,3) identify any resources that may be necessary to ensure the agency can continue to operate at its continuity site	□ Yes □ No	
Tests, Training, and Exercising (1,2) outline the training policy and any exercises or real-world events the agency has experienced	□ Yes □ No	
After Action Reports (AAR) and Corrective Action Programs (CAP) (1,2,3) address the need for and use of AARs and CAPs for the future development and refinement of the COOP process	□ Yes □ No	
Section III: Response	□ Yes □ No	
Alert, Notification, and Plan Activation (1,3) identify the process for recognition of risk/threat, notification of internal and external entities, and actions of the agency to activate response organization and this COOP	□ Yes □ No	
Agency Emergency Response Levels use of agency response levels as warranted	□ Yes □ No	
Critical Recovery Tasks (1,3)	□ Yes □ No	

identify the critical recovery tasks that are specific to the agency in order of priority. These are quick action steps to implement the COOP		
Priority of Restoration of Critical Applications and Vital Records (1) should address the need to prioritize restoring data systems as a response activity	□ Yes □ No	
Emergency Response Organization (3) and the Role of the Crisis Management or Continuity Planning Team (3)	□ Yes □ No	
address how the response will be organized; potential use of the Incident Command System	□ Yes □ No	
define roles and expectations of CMT (if used) and CPT during response activities	□ Yes □ No	
The Role of Leadership (1,2,3) identify the expected role of leadership	□ Yes □ No	
Assignment of Responsibilities (1,2,3) identify the responsibilities within the agency during a continuity environment	□ Yes □ No	
Team Leaders for Alternate Relocation Site (if necessary) (3) Identify leaders of COOP sites if warranted	□ Yes □ No	
Facility Relocation Handout for Alternate Work Site (3) provide helpful guidance to relocated employees as warranted	□ Yes □ No	
Implementing Devolution of Functions and Delegation of Authority	□ Yes □ No	
Devolution (2)	□ Yes □ No	

transition of roles and responsibilities from primary location to alternate locations **Delegation of Authority (2)** delegation of authority including to whom, when, timeline, legal authorization, notifications, reclamation of authority	□ Yes □ No	
Personnel (Human Capital) (2,3) address how the agency should manage its employees and the impact on employees in a continuity environment	□ Yes □ No	
Section IV: Recovery/Demobilization	□ Yes □ No	
Recovery and Reconstitution (1,2) identification of the elements in reconstituting the agency	□ Yes □ No	
Agency Facility and Personnel (1,2) address how day-to-day operations will resume after the termination of a continuity environment in the: short-term long-term	□ Yes □ No □ Yes □ No	
Documentation for Demobilization (1,2) provisions made to ensure information and materials generated in the event are transferred to the primary operating facility	□ Yes □ No	

Comments:

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