

State and County Coordination Checklist – Continuity of Operations
Division of Emergency Management
Revised 2012-2013

I. CONTACT INFORMATION					
A. AGENCY NAME		Department of State, Division of Elections			
B. COUNTY NAME		Stage Agency located in Leon County			
C. FACILITY INFORMATION					
Name		Location/Mailing Address (Street, City, State, Zip Code)			
Duty Hours Emergency Contact Name/Number			Non-Duty Hours Emergency Contact Name/Number		
D. CONTACT INFORMATION					
Contact	Name	Position Title	Phone	Email	Mailing Address
Primary Agency COOP Coordinator		COOP Emergency Coordinating Officer 1			
Alternate Agency COOP Coordinator		COOP Emergency Coordinating Officer 2			
Primary Facility Representative		Building Manager			
Alternate Facility Representative		Director, Division of Admin. Services			
II. ESSENTIAL ELEMENTS CRITERIA					
A. PLANS AND PROCEDURES					
ID Number	Description		Page/Paragraph Indicator	State/County EM Coordination	

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A-1	The COOP plan contains procedures for:	a. Alerting employees		
		b. Notifying employees		
		c. Activating employees		
		d. Deploying employees, to include procedures for travel		
A-2	The COOP plan contains the following components and/or procedures	a. Delineation of mission essential functions.		
		b. A decision process for activation or evacuation.		
		c. A staff roster that lists positions, but not names.		
		d. Procedures to ensure readiness – duty and non-duty hours, with and without warning.		
		e. Provisions for personnel and visitor accountability and safety.		
		f. Reliable processes to acquire additional resources to sustain operations for 30 days.		
		g. Provisions for attaining operational capability within 12 hours of activation.		
A-3	The COOP plan contains the following documentation:	a. Planning assumptions and/or constraints;		
		b. Purpose;		
		c. Objectives;		
		d. Applicability and scope;		
		e. Authorities and references;		
		f. Direction and control.		
A-4	Responsibilities and procedures are included for Time-Phased Operations which include:	a. COOP Plan Activation;		
		b. Alternate Operations;		
		c. Reconstitution and Termination.		
A-5	The COOP plan contains mechanisms for implementation according to the magnitude of the incident.			

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A-6	The COOP plan contains documentation, which describes the incorporation of accompanying Standard Operating Procedures (SOPs) and/or checklists for COOP implementation and execution.		
A-7	Procedures are in place to notify customers of new work location, phone numbers, re-route US mail, etc.		
A-8	The COOP plan addresses Site-Support Procedures for its in-route and alternate facility including re-establishment of communication with critical customers.		
A-9	The COOP and building evacuation plans are amalgamated with one another to ensure that the plans are compatible and coordinated.		
A-10	The COOP plan contains Annexes with detailed information.		

B. MISSION ESSENTIAL FUNCTIONS

ID Number	Description		Page/Paragraph Indicator	State/County EM Coordination
B-1	Mission essential functions are:	a. Identified		
		b. Prioritized		
B-2	Personnel are assigned to those functions based on skills and knowledge.			

C. DELEGATIONS OF AUTHORITY

ID Number	Description		Page/Paragraph Indicator	State/County EM Coordination
C-1	Authorities are identified that can and should be delegated.			
C-2	The circumstances under which the authorities would be exercised, including when they would become effective and terminated are described.			
C-3	The positions to which the authorities are delegated are listed.			
C-4	The limitations of the delegations of authority are identified.			

D. ORDERS OF SUCCESSION

ID Number	Description		Page/Paragraph Indicator	State/County EM Coordination
D-1	Orders of succession for key leadership positions	a. Conditions for succession;		

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	are identified and address the following:	b. Method of notification;		
		c. Time, geographical, and organizational limitations.		
D-2	The succession order is described by position or titles rather than by person.			

E. ALTERNATE FACILITIES

ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
E-1	The COOP plan contains provisions for the joint development of Alternate Facility Support Procedures coordinated with the alternate facility manager.		
E-2	The COOP plan includes consideration for the pre-positioning of assets and resources at the facility.		
E-3	Procedures are in place that provide for reliable logistical support, services, and infrastructure systems.		
E-4	The alternate facility is capable of supporting the agency's operations and is able to accept the COOP team.		
E-5	Consideration for appropriate physical security and access controls is included for the alternate facility.		

F. INTEROPERABLE COMMUNICATIONS

ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
F-1	The COOP plan identifies the data and communications systems to support mission essential functions.		
F-2	The procedures for interoperable communications provide for both internal and external communications.		
F-3	Provisions for redundant communications are included in the COOP plan.		

G. VITAL RECORDS AND DATABASES

ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
G-1	The COOP plan contains provisions for:	a. Identifying vital records, systems, and data (hard copy and electronic) critical to performing functions	
		b. Off-site back-up of electronic records and databases and storage of	

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		duplicate records		
		c. Pre-positioning of vital records and databases at the alternate facility prior to deployment		
		d. Assuring availability of Emergency operating records		
		e. Ensuring back-up for Legal and financial records		
G-2	The COOP plan describes a maintenance program to assure the records are accurate, current, and frequently updated.			
G-3	During Alternate Operations, the COOP plan includes procedures for documenting operations when the COOP is activated.			
G-4	Consideration for assuring the agency's disaster Recovery Plans are capable of supporting COOP activities in accordance with Florida Statutes, Chapter 252: <i>Communications and Data Processing</i> are included in the COOP plan.			

H. LOGISTICS AND ADMINISTRATION

ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
H-1	The COOP plan contains provisions which at a minimum:	a. Identifies equipment and other resources at the alternate facility	
		b. Pre-positions equipment and other resources at the alternate facility	
		c. Maintain equipment and other resources at the alternate facility	
H-2	Provisions are included for the preparation and pre-positioning of Drive-Away Kits.		
H-3	Telecommunications and information technology support procedures and resources are included for the alternate facility.		
H-4	Provisions for personnel transportation (parking), lodging, and dining at the alternate facility are established within the COOP plan.		
H-5	Site-Support Procedures which identify the initial requirements for receiving, supporting, and relocating personnel to alternate facility are included in either the		

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	COOP plan or SOPs.		
I. PERSONNEL ISSUES AND COORDINATION			
ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
I-1	Communications plans have been included which disseminate information to essential and non-essential personnel.		
I-2	Considerations that address the health, safety, emotional well-being of all employees and their families have been included in the planning.		
I-3	Guidance is prepared to assure personal preparedness for staff through “personal go-kits.”		
I-4	Measures are included in the planning which address pay status, administrative leave, and layoffs.		
I-5	Information is included, which provide guidance to employees on medical, special needs, and travel issues.		
J. SECURITY			
ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
J-1	Provisions for ensuring the Operational Security of the agency’s COOP program and documentation have been incorporated into the COOP plan.		
J-2	Consideration has been given to restricting physical access controls to the primary and alternate facility for employees and critical customers.		
J-3	Provisions for ensuring cyber security of data and networks have been incorporated into the planning process.		
K. TEST, TRAINING AND EXERCISE			
ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
K-1	The COOP plan contains a comprehensive Test, Training, and Exercise program.		
K-2	Provisions are included for periodic test of the following: <ul style="list-style-type: none"> • Alert and notification procedures • Equipment at the alternate facility • Exercise of operational plans, alternate facilities, and interoperable communications 		
K-3	A Remedial action plan/process has been established		

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	which incorporates lessons from the test, training, and exercise program.		
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L. PROGRAM MANAGEMENT

ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
L-1	The COOP plan contains a strategic and multi-year planning process that includes anticipated funding requirements.		
L-2	The COOP plan contains provisions for updating the COOP plan and the SOPs annually.		
L-3	A coordinated program management process to ensure maintenance, operation, and funding for a viable COOP capability is included in the COOP plan.		

M. ADDITIONAL PROVISIONS, PROCEDURES AND ACTIONS

ID Number	Description	Page/Paragraph Indicator	State/County EM Coordination
M-1	Integration of National Incident Management System (NIMS) *The adoption of NIMS is required by September 30, 2005, per the most current Department of Homeland Security Guidance.		
M-2	Provisions are included that maintain efforts to minimize damage and losses of resources.		
M-3	The planning process incorporated considerations for an orderly response, recovery, and termination from any incident.		
M-4	Provisions are included that ensure this plan can be activated if the agency is closed to normal business activities as a result of an event or credible threats of action that would preclude access or use of the agency office and the surrounding area.		
M-5	Provisions are included that ensure this plan can be activated simultaneously with multiple agency COOP plans.		
M-6	Provisions for ensuring a means of information coordination with the Governor to make uninterrupted communication certain within the internal organization of the agency, as well as externally to other agencies and to all identified critical customers.		
M-7	The planning process includes procedures to assure timely direction, control, and coordination to the agency		

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	leadership, other agencies, and other critical customers before, during, and after an event or upon notification of a credible threat.		
M-8	The plan's Activation procedures include a process for Alert and Notification, including provisions for notifying the State Warning Point of the decision to activate the agencies COOP plan, to relocate, and the anticipated time of arrival at the alternate facility.		
M-9	The plan includes a thorough After-Action Review and Remedial Action Plan process to assess all phases and elements of the alternate operations when/if the COOP plan is activated.		

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**DEM COMPLIANCE CHECKLIST
FOR
CONTINUITY OF OPERATIONS PLAN (COOP)
INSTRUCTIONS**

This form must be attached to the Agency COOP plan when submitted for approval to the State Division of Emergency Management annually. The Agency COOP Coordinator appointed by the head of the organization must provide their signature on this document prior to submission. Their signature will serve as authorization that they have reviewed the Agency COOP plan and assured that the Coordination Checklist was completed in accordance with the Purpose and Instructions.

Agencies should use this document as a cross reference to their COOP plans by listing the page number and paragraph where the criteria are located within their plan in the appropriate cell for each item in the matrix.

Each agency will submit a CD containing the agency COOP plan to:

Division of Emergency Management
ATTN: COOP Program Manager
2555 Shumard Oak Boulevard
Tallahassee, FL 32399-2100

SIGNATURES AN AUTHORIZATIONS

Agency COOP Coordinator

Date

(Print Name)