

**[Insert Date of Exercise]**

Continuity of Operations

Exercise

**[Insert Organization Name]**

**FACILITATOR GUIDE**

[↑Insert Organization Logo↑]

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# Purpose

This Facilitator Guide outlines general instructions for facilitators on the overall facilitation of the [Insert Organization Name] Continuity of Operations (COOP) Exercise. Participation in the exercise discussion should be strongly encouraged. The primary purpose of the exercise is to validate plans, policies, and procedures and to improve skills.

*Facilitator responsibilities include setting the stage for the exercise, introducing the narrative, reading the scenarios, asking key discussion questions, stimulating the discussion, pushing the participants toward problem-solving, controlling and sustaining the action, and maintaining the focus and the pace of discussions.*

***Note:*** *Exercise Planners should develop the Situation Manual (SitMan) first and carry over those modifications to this document. Developing the SitMan first in the exercise planning process will save the planners time and effort.*

This Facilitator Guide and all information discussed as part of the exercise is FOR OFFICIAL USE ONLY (FOUO). The document is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with your organization’s practices relating to FOUO information and is not to be released to the public or personnel who do not have a valid need to know without prior approval of the authorized [Insert Organization Name] official.

# Welcome and Introductions

Begin the exercise by introducing yourself. Provide a short overview of the exercise and emphasize that the purpose of the exercise is to identify current plans, policies, and procedures to strengthen the coordination necessary to manage a continuity-disrupting incident affecting [Insert Organization Name]. Review any administrative or housekeeping items. Explain the roles of the facilitator, players, observers, and evaluators as covered in the slide deck. Ask participants to introduce themselves and state their role within their organization and in the exercise. After introductions, remind everyone to share responsibility for making the exercise useful and productive. Review the agenda, ground rules, assumptions and artificialities, objectives, and exercise structure as covered in the slide deck.

## COOP Background

Continuity of Operations is defined[[1]](#footnote-2) as:

“…*the effort within public and private entities to ensure that mission essential functions continue to be performed during a wide range of emergencies, including natural disasters, accidents, and technological or attack-related emergencies.*”

A COOP Plan presents the threats, hazards, and vulnerabilities that an agency is subject to during daily operations. A COOP Plan also establishes what the essential functions/critical business processes are for the [Insert Organization Name]. Essential functions/critical business processes are the limited set of functions that must be continued throughout or resumed rapidly after a disruption of normal activities. Planning to re-establish these essential functions/critical business processes requires understanding what processes, personnel, and equipment support the essential functions/critical business processes and which individuals have the responsibility and authority to carry out actions to ensure these functions/processes are resumed within the identified timeframe after a service disruption.

A COOP Plan must be flexible and scalable for a variety of situations, as there are many scenarios that may require a State Organization to enter into a continuity environment on or off duty hours. The ability for [Insert Organization Name] to maintain its critical services during emergencies is vital. To that end, effective planning is the key to ensuring a timely response and sustainment of critical services.

## Housekeeping

Review the facility layout (e.g., restrooms, refreshments) and any safety and security issues that may need to be addressed at this time.

## Participant Roles and Responsibilities

The term *participant* encompasses many groups of people, not just those playing in the exercise. Groups of participants involved in the exercise and their respective roles and responsibilities are as follows:

* **Facilitator.** The facilitator will provide situation updates and moderate discussions. They may also provide additional information and answer questions, as required. Key planning members also may assist with facilitation as subject matter experts during the exercise.
* **Players.** Players are personnel who have an active role in discussing or performing their regular roles and responsibilities during the exercise. Players discuss or initiate actions in response to the simulated emergency.
* **Evaluators.** Evaluators observe and document certain objectives during the exercise. Their primary role is to document discussions, including how and if those discussions conform to plans, policies, and procedures.
* **Observers.** Observers do not directly participate in the exercise. However, they may support the development of responses to the situation during the discussion by asking relevant questions or providing subject matter expertise.

# Exercise Agenda

[Insert Date of Exercise]

|  |  |
| --- | --- |
| TIME | AGENDA ITEM |
| HH:MM | Evaluator Briefing [Delete if delivered prior to the day of the exercise] |
| HH:MM | Participant Sign-In |
| HH:MM | Opening Remarks [Facilitator] |
| HH:MM | Module 1: COOP Plan Phase 2 - Activation and Notification   * Facilitated Discussion |
| HH:MM | Break |
| HH:MM | Module 2: COOP Plan Phase 3 – COOP Operations   * Facilitated Discussion |
| HH:MM | Break |
| HH:MM | **Optional** Module 2A: COOP Plan Phase 3 (cont.) – Advanced COOP Operations [Delete if not applicable]   * Facilitated Discussion |
| HH:MM | Break |
| HH:MM | Module 3: COOP Plan Phase 4 - Reconstitution   * Facilitated Discussion |
| HH:MM | Exercise Hotwash |
| HH:MM | Closing Remarks and Adjournment |

# Exercise Overview

|  |  |
| --- | --- |
| EXERCISE NAME | Continuity of Operations Exercise |
| EXERCISE DATE | [Insert Date of Exercise] |
| SCOPE | [Insert a brief statement about scope of the exercise, target audience, primary purpose, and other pertinent details]  [*Example:**Activities related to continuity operations as reflected in the [Insert Organization Name] COOP Plan.]* |
| MISSION AREA(S) | Prevention, Protection, Response, Recovery |
| CORE CAPABILITIES | Planning |
| OBJECTIVES | * Discuss and validate the State Organization’s COOP Plan elements, including:   + Identification of essential functions/critical business processes   + Incident management   + Alternate facilities   + Critical customers/partners and vendors   + Resource requirements * Discuss and validate the processes required to perform internal and external Crisis Communications. * Discuss and validate the process for reconstitution. * List any additional exercise objectives |
| THREAT OR HAZARD | [Choose one scenario and delete the others]  Mold  Earthquake  Winter Storm |
| SPONSOR | [Insert Organization Name] |
| POINT OF CONTACT | [Insert primary point of contact for the exercise]  Name:  Title:  Facility/Organization Name:  Address:  Phone Number:  Email: |

# General Information

## Exercise Objectives

Review the exercise objectives in **Table 1**. Explain that exercise objectives are linked to Core Capabilities, which are distinct critical elements necessary to achieve the specific mission area. The exercise objectives are aligned with state and federal capabilities such as the U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) Core Capabilities. This approach identifies gaps in current capabilities and will help focus efforts on improving those capabilities in future training and exercise activities. Specifically, this exercise will measure performance of the Core Capabilities listed in **Table 1** below.

Table 1. Exercise Objectives and Associated Core Capabilities

|  |  |
| --- | --- |
| **CORE CAPABILITIES** | **EXERCISE OBJECTIVE** |
| Planning | * Discuss and validate the State Organization’s COOP Plan elements including:   + Identification of essential functions/critical business processes   + Incident management   + Alternate facilities   + Critical customers/partners and vendors   + Resource requirements * Discuss and validate the processes required to perform internal and external Crisis Communications. * Discuss and validate the process for reconstitution. * List Any Additional Exercise Objectives. |

## Exercise Guidelines

Instruct participants that this is an interactive exercise progressing over the next [insert number of hours/days based on the modules] hours/days with a continuing scenario presented in several modules. The following guidelines apply throughout the exercise:

* This exercise will be held in an open, low-stress, no-fault environment. Varying viewpoints, even disagreements, are expected.
* Do not fight the scenario. The scenario is intended to drive discussion about the COOP Plan.
* Respond to the scenario using your knowledge of current plans and capabilities as well as insights derived from your training and experience.
* Decisions are not precedent-setting and may not reflect your organization’s final position on a given issue. This exercise is an opportunity to discuss and present multiple options and possible solutions.
* Issue identification is not as valuable as suggestions and recommended actions that could benefit preparedness, response, and recovery efforts. Problem-solving efforts should be the focus of discussion.
* Not every issue or problem can be discussed exhaustively. To achieve overall objectives, the facilitator may move the group to subsequent questions once the key points have been covered. Please, trust your facilitator.
* Decisions achieved through discussion will be documented for each module.

## Exercise Assumptions and Artificialities

Emphasize that in any exercise, assumptions and artificialities may be necessary to complete play in the time allotted and account for limitations. Exercise participants should accept that assumptions and artificialities are inherent in any exercise and should not allow these considerations to negatively impact their participation. During this exercise, the following assumptions and artificialities apply:

* People and events in this scenario are fictional; any resemblance to real persons or events is entirely coincidental.
* The exercise is conducted in a no-fault learning environment wherein capabilities, plans, systems, and processes are evaluated.
* The exercise scenario is plausible, and events occur as they are presented. The scenario is intended to drive discussion.
* All participants receive information at the same time.
* The scenario will not play out in real time. Some events will require time compression or may be accelerated to meet exercise objectives.
* There is no hidden agenda; there are no trick questions.

# Exercise Structure

The [Insert Organization Name] COOP Exercise is conducted as a facilitated discussion using a modular approach. The exercise will be composed of the following modules described below.

## Module 1: COOP Plan Phase 2 – Activation and Notification

Introduce the scenario by reading it aloud, noting that the scenario has been provided to the participants in the Situation Manual (SitMan). Answer any questions the participants may have to clarify ambiguous details of the scenario. After this scenario discussion is completed, continue by reviewing the module questions.

## Module 2: COOP Plan Phase 3 – COOP Operations

Introduce the progression of the exercise by reading the scenario aloud. Answer any questions the participants may have to clarify ambiguous details of the scenario. After this scenario discussion is completed, continue the discussion by reviewing the module questions.

## Module 2A: COOP Plan Phase 3 (cont.) – Advanced COOP Operations

This optional module offers additional injects to encourage Organizations with more advanced COOP plans to further improve their COOP capabilities. This includes a changeover in Incident Command (Succession and Delegation of Authority) and supply chain disruption (impact to resources such as assets/equipment, supplies, applications, and vital records).

Introduce the progression of the exercise by reading the scenario aloud. Answer any questions the participants may have to clarify ambiguous details of the scenario. After this scenario discussion is completed, continue by reviewing the module questions.

## Module 3: COOP Plan Phase 4 – Reconstitution

Introduce the progression of the exercise by reading the scenario aloud. Answer any questions the participants may have to clarify ambiguous details of the scenario. After this scenario discussion is completed, continue by reviewing the module questions.

## Hotwash & Participant Feedback Forms

Once the exercise has concluded, review the exercise and provide participants the opportunity to identify next steps. Direct participants to the Participant Feedback Forms located in the back of the SitMan prior to the group discussion and give participants a few minutes to complete the evaluation. The form will assist participants in organizing their observations. Once participants have completed their feedback form, lead the group in a short hotwash (typically 15 minutes). Keep this summary simple by asking for input to identify major strengths and areas for improvement. Document the findings on the Hotwash Guide (at the end of this document). These findings will inform the After Action Report (AAR). Collect the Participant Feedback Forms before dismissing participants.

# Exercise Evaluation

Explain that the evaluation of the exercise is based on the objectives and aligned capabilities, capability targets, and critical tasks that are documented in Exercise Evaluation Guides (EEG). Information from the exercise discussion will be documented by evaluators. At the end of the exercise, participants will be asked to complete Participant Feedback Forms, and participate in a brief hotwash discussion that will highlight key strengths and area for improvement. Findings gathered from the EEGs, Participant Feedback Forms, hotwash discussion, and observations from the facilitator will be used to evaluate the exercise and compile the AAR.

# Exercise Scenario

[Select the scenario chosen below. Delete other scenarios.]

## Mold

For the past few weeks, an increasing number of employees within the [insert State Organization primary location] building have become ill with respiratory symptoms, including severe asthma, stuffy nose, wheezing, and red and itchy eyes. Earlier today, while environmental clean-up crews were conducting an inspection, they discovered evidence of black mold. Upon further inspection, extensive mold was observed throughout the length of the building’s HVAC system, on furniture, and within the wall insulation. At [insert time of day or evening], leadership was notified that due to the extent of the mold and the health hazard it presents, the building must be vacated. Personnel must prepare to activate their COOP Plan.

## Earthquake

This morning at 11 a.m., employees at [insert State Organization primary location] experienced a sudden, strong shaking of the building that lasted for approximately 15 seconds. Recognizing an earthquake, employees took cover under desks and tables. Books and equipment were thrown off shelves, and some windows shattered, and [insert number] employees were injured. Once the shaking stopped, employees observed large cracks in the building’s masonry. Due to the extent of the damage and the life safety hazard it presents, the building must be vacated. Personnel must prepare to activate their COOP Plan.

## Winter Storm

Earlier this week, the National Weather Service (NWS) and local meteorologists predicted an incoming winter storm likely to deliver minimal to moderate snowfall. Forecasts indicate that the storm will not arrive until late this evening and will have little impact on commutes. Based on the forecast, employees of [Insert Organization Name] report to work as usual.

Despite the forecast, heavy bands of snow, sleet, and freezing rain arrive at approximately 11 a.m. and begin to coat vehicles, trees, and power lines in snow and ice.

At 2 p.m., employees hear a loud crash, and the electricity goes out temporarily. The backup generator quickly restores basic lighting to the office. Moments later, it is reported that a large tree fell into the building. While no one was injured, the tree created a substantial hole in the roof and side wall and damaged office, file storage, and meeting space. Due to the extent of the damage and the life safety hazard it presents, the building must be vacated. Personnel must prepare to activate their COOP Plan.

# Module 1: COOP Plan Phase 2 – Activation and Notification

## Scenario Update

Due to the extent of the [damage/health risk], the [Insert Organization Name]’s entire primary location is deemed immediately uninhabitable. Initial estimates indicate that repairs may take up to one month to complete. Personnel must prepare to activate their COOP Plan.

## Key Issues

The following key issues need to be considered when developing response actions to this scenario:

* Initial activation and notification of COOP procedures
* Incident management
* Critical customers/partners and vendors
* Identification of essential functions/critical business processes and their dependencies
* Resource requirements (vital records, equipment, software)

## Module 1 Activity/Discussion Questions

The following questions address some of the many issues expected to arise as the incident develops. These questions are not meant to constitute a definitive list of concerns; instead, questions are designed to meet exercise objectives. Questions are not intended to be asked in chronological order but are provided to encourage and guide participant dialogue. The facilitator will gauge and time the questions appropriately.

**Note:** While similar, these questions include a higher degree of detail than the questions included in the participant SitMan. Participants should be encouraged to document the location of the information within their organization’s COOP Plan. Sections are provided in parentheses below to help guide participants. Evaluators should document the section in their EEGs.

1. How is the COOP Plan activated, and who are members of the COOP leadership/incident management team? *(Section 2.1.2)*. Please identify the COOP leadership/incident management team by Incident Command System (ICS) position.
2. The primary facility is deemed uninhabitable and the building will be closed. Who can authorize the closure?
3. What is the process for communicating the office closure to staff? Who is sending the message and via what method(s)? Are there backup methods for communication? *If the Crisis Communication Tool is used, please generate the report for inclusion in exercise documentation. If the tool is not activated, please draft what the message would say and provide a copy of the draft message.*
4. Is your primary facility co-located with any other State Organizations or businesses that would need to be notified of your COOP Plan activation? If so, please identify the State Organization/business and point of contact.
5. What critical vendors, coordinating entities, or public customers should be contacted to be made aware of the COOP operations? Who is responsible for making notifications and where is the contact information stored? (*Section 6.2*)
6. What method(s) of communication will be used to notify external partners or customers? Do these communication methods have a backup method? *(Section 2.2.2)*
7. What essential functions/critical business processes have been impacted but are critical to continue delivering? What are their critically levels? What is the Recovery Time Objective (RTO) for the processes? *(Section 3)*
8. What software or applications are needed as part of the essential functions/critical business processes? How will their status be confirmed, and whether they are housed in the damaged building? Are there manual work-around procedures in place? *(Section 3 and/or Section 6.1)*
9. What vital records must be maintained? Do these records have hard copy or electronic backups available? *(Section 3)*. If so, how will they be accessed (e.g., part of COOP Kit, stored at alternate location, etc.)?
10. What resources (e.g., equipment) are vital to ensuring delivery of essential functions/critical business processes? *(Section 5 and/or Section 6.1)*
11. Are there COOP kits maintained by the organization? Who is responsible for them, where are the kits located, and how are they maintained? What are the contents of the COOP kit? Examples include:
    * + - COOP Plan (hard copy)
        - General office supplies
        - Backup communication devices
        - Manual work-around procedures for performing essential functions/critical business processes
        - Compact discs/flash drives/additional media as needed with essential documents
12. Who comprises the Damage Assessment Team? *(Section 2.4)*

# Module 2: COOP Plan Phase 3 – COOP Operations

## Scenario Update

[Insert Organization Name] leadership, in collaboration with building safety professionals, have determined that employees must relocate to the designated alternate facility for at least 30 days.

## Key Issues

The following key issues need to be considered when developing response actions to this scenario:

* Alternate facilities
* Resource requirements (software, equipment, finances)
* Critical customers/partners and vendors

## Module 2 Activity/Discussion Questions

The following questions address some of the many issues expected to arise as the incident develops. These questions are not meant to constitute a definitive list of concerns; instead, questions are designed to meet exercise objectives. Questions are not intended to be asked in chronological order but are provided to encourage and guide participant dialogue. The facilitator will gauge and time the questions appropriately.

**Note:** While similar, these questions include a higher degree of detail than the questions included in the participant SitMan. Participants should be encouraged to document the location of the information within their organization’s COOP Plan. Sections are provided in parentheses below to help guide participants. Evaluators should document the section in their EEGs.

1. Where is the alternate facility? Is the alternate facility a hot/warm/cold site?
2. Is the agreement between the [Insert Organization Name] and the alternate facility owner informal or formalized? When was the last time the agreement was reviewed or updated? What is the contact information for the alternate facility? Are there any limiting factors that may prevent you from occupying the alternate facility? *(Section 9)*
3. Who is responsible for setting up the alternate facility and what will guide their set-up (e.g., schematic)? *(Section 5 or Section 9)*
4. Are there any modifications that need to be made to the alternate facility prior to the staff using it (e.g., additional office supplies, IT equipment)?
5. How long will it take for the alternate site to be active?
6. What essential functions/critical business processes will be performed at the alternate location or via telework? Are any of these functions/processes public facing? If so, how will the public be notified of the alternate site, hours of operations, staffing, etc.?
7. Who is responsible for moving the COOP Kit to the alternate facility, or is it pre-staged?
8. Are there any financial considerations that must be addressed as part of the alternate facility’s agreement? What about modified accounting procedures for supply acquisition?
9. How will personnel be accounted for at the alternate facility? *(Section 2.3.1)*
10. What is the procedure for employees relocating to an alternate facility?
11. What is the process for transferring in-office assets to the alternate facility? How will the primary facility remain secured?
12. Are there any security or access requirements that must be shared with staff prior to accessing the alternate facility? *(Section 5)*
13. Are there any orientation materials provided to employees working at the alternate facility (e.g., parking restrictions, mass transit routes, local daycare centers, local eateries, etc.)?
14. Would telework be warranted/implemented? Are there pre-established criteria for determining which employees are eligible for telework? *(Section 2.3.2)*
15. How will routine communication occur between employees if they are separated between multiple alternate facilities or teleworking?

# Module 2A: COOP Plan Phase 3 (cont.) – Advanced COOP Operations

This module is **optional** and offers additional injects to encourage Organizations with more advanced COOP plans to further improve their COOP capabilities. This includes a changeover in Incident Command (Succession and Delegation of Authority), Supply Chain Disruption (resource disruption), and Network Disruptions (impact to communications, applications, and vital records). Select the desired additional injects to support designated objectives and delete the rest. Organizations may edit or add additional inject details to improve exercise realism.

## Optional Scenario Updates

### Incident Command Changeover (Succession and Delegation of Authority)

An automobile accident has occurred that has incapacitated [insert the names of 2-3 leadership staff]. These individuals are not responding via cell phone.

### Supply Chain Disruption

Due to labor strikes, DELL has been decreasing desktop and laptop production. Meanwhile, weather-related disasters have occurred in Maryland and New Jersey, which have resulted in increased demand for these products. You are unable to acquire additional computers at this time.

[A customizable supply chain disruption scenario is provided below. Delete if not needed.]

Due to labor strikes/product recall/weather-related manufacturing damage, [Insert manufacturer] has been decreasing [Insert supply] production. Meanwhile, weather-related disasters have occurred across the mid-Atlantic, which have resulted in increased demand for this product. You are unable to acquire additional [Insert supply] at this time.

### Network Disruption

Construction has been going on down the road from your alternate facility. At 11:00 a.m. five days into your relocation, your employees report that they are unable to connect to the state network. All internet activity is offline. Cisco phone lines are also offline, and personnel cannot be contacted at their work numbers. After 1 hour, you are informed that a fiber cut has occurred during the offsite construction and it is estimated 36–72 hours for repairs to be completed.

## Key Issues

The following key issues need to be considered when developing response actions to this scenario:

* Identifying, authorizing, and initiating lines of succession
* Manual work-around procedures
* Alternate vendors/supply management

## Module 2A Activity/Discussion Questions

The following questions address some of the many issues expected to arise as the incident develops. These questions are not meant to constitute a definitive list of concerns; instead, questions are designed to meet exercise objectives. Questions are not intended to be asked in chronological order but are provided to encourage and guide participant dialogue. The facilitator will gauge and time the questions appropriately.

**Note:** While similar, these questions include a higher degree of detail than the questions included in the participant SitMan. Participants should be encouraged to document the location of the information within their organization’s COOP Plan. Sections are provided in parentheses below to help guide participants. Evaluators should document the section in their EEGs.

### Incident Command Changeover (Succession and Delegation of Authority)

1. What are the potential impacts if the missing personnel cannot be located?
2. Are lines of succession in place? *(Section 2.1.3)*
3. What are the parameters for initiating succession actions? *(Section 2.1.3)*
4. Who can authorize them? *(Section 2.1.3)*
5. Do the procedures or authorizations change if someone is killed vs. injured, perhaps severely?
6. Would these considerations be different for an elected official? [May not be applicable to all State Organizations]
7. In the absence of key personnel, how will decisions be authorized?

### Supply Chain Disruption

1. Are the alternate facilities pre-positioned with necessary work resources such as network accessibility, computers/laptops, phones, fax machines, printers, and basic office supplies?
2. If resources need to be purchased or leased, is financial staff designated as being essential in the COOP Plan?
3. How will the agency expedite the process of procuring needed resources?
4. Are pre-approved/pre-determined vendor contacts established for goods and services?
5. Do you have vendor contact information documented in your plan for all necessary supply goods or services needed to perform your critical operations?
6. Do you have alternate vendor contacts for any supplies?
7. Do you have work-around options for performing critical business processes with limited resources?
8. How will your organization manage and inform employees concerning limited resources?

### Network Disruption

1. What management decisions are being made as a result of this situation?
2. With whom are you communicating regarding this situation? Is their contact information included in the COOP Plan?
3. Are there work-around procedures in place to perform critical processes if network access is down? Are these work arounds documented and can you access them?
4. How are you notifying staff of the situation?
5. How are you informing the public of the situation and your response?
6. What partners are you working with to mitigate or resolve the situation?

# Module 3: COOP Plan Phase 4 – Reconstitution

## Scenario Update

It has been 15 days since the incident, and personnel are operating from the alternate location(s)/teleworking. Leadership was just notified that repairs will be more extensive than initially believed. Estimates indicate that the primary building will be closed for an additional 45–60 days. Staff identify that supplemental equipment will be needed to replacement worn or used equipment.

## Key Issues

The following key issues need to be considered when developing response actions to this scenario:

* Long-term leasing and operational considerations
* Recovery tracking and communication

## Module 3 Activity/Discussion Questions

The following questions address some of the many issues expected to arise as the incident develops. These questions are not meant to constitute a definitive list of concerns; instead, questions are designed to meet exercise objectives. Questions are not intended to be asked in chronological order but are provided to encourage and guide participant dialogue. The facilitator will gauge and time the questions appropriately.

**Note:** While similar, these questions include a higher degree of detail than the questions included in the participant SitMan. Participants should be encouraged to document the location of the information within their organization’s COOP Plan. Sections are provided in parentheses below to help guide participants. Evaluators should document the section in their EEGs.

1. Who is responsible for approving purchases during COOP operations? Does this process change during extended COOP operations? *(Section 2.3.4)* [Some Organizations may have already addressed this question in Module 2A]
2. Are there any COOP-specific acquisition procedures that need to be adhered to? *(Section 2.3.4)*
3. Does the extended timeframe trigger any alternate/long-term facility leasing requirements (e.g., update lease agreement)? Have long-term alternate facilities been identified? Who is the point of contact and is their information included in the COOP Plan?
4. How will recovery progress be tracked and shared with personnel? *(Section 2.4)*
5. How will the organization address increased employee impacts (e.g., psychological) from working at alternate facility?
6. Are there impacts to essential functions/critical business processes based on the extended relocation? How are these changes being communicated to staff and the public?
7. Who is responsible for documenting necessary updates the COOP Plan based on observations gathered during the incident? Who reviews the updates? *(Section 6)*

# Participant Feedback Forms & Hotwash

Once the exercise has concluded, review the exercise and provide participants the opportunity to identify next steps. Direct participants to the Participant Feedback Forms attached to the back of the SitMan. ***Prior*** to the group discussion, give participants a few minutes to complete the evaluation. The form will assist participants in organizing their observations.

Once participants have completed their feedback form, lead the group in a short hotwash (typically 15 minutes). Keep this summary simple by asking for input to identify major strengths and areas for improvement. Document the findings on the Hotwash Guide (at the end of this document). These findings will inform the AAR.

Suggested hotwash prompts:

* What strengths were identified in the COOP Plan?
* What are the improvement opportunities for the COOP Plan?
* What gaps were identified in the COOP Plan?
* What are the high-priority issues that should be addressed?
* What new ideas and recommendations are there for improving exercises?

Collect the Participant Feedback Forms. End the session by thanking everyone for their participation and honest feedback. Explain [Insert Organization Name]’s continued commitment to improving COOP operations and coordination.

# Exercise Evaluation Guides

Remind the exercise evaluators to complete their EEGs and return them to you in either an electronic or hard copy format. EEGs will be used to generate the AAR.

# Sign-In Sheets

Remember to collect the sign-in sheets.

# Facilitator Hotwash Guide

The hotwash is an opportunity to review the highlights of the exercise discussion and provide participants the opportunity to identify next steps. The exercise facilitator should keep this summary simple by asking for input to identify major strengths and areas for improvement. Space is provided below to capture hotwash findings. These findings will help inform the AAR.

Suggested discussion prompts:

* What strengths were identified in the COOP Plan?
* What are the improvement opportunities for the COOP Plan?
* What gaps were identified in the COOP Plan?
* What are the high-priority issues that should be addressed?
* What new ideas and recommendations are there for improving exercises?

|  |
| --- |
| List the Top 3 Strengths Identified by Exercise Participants |
| 1. |
| 2. |
| 3. |
| Additional Notes and Discussion Points |
|  |
| List the Top 3 Areas for Improvement Identified by Exercise Participants |
| 1. |
| 2. |
| 3. |
| Additional Notes and Discussion Points |
|  |

|  |
| --- |
| Additional Comments/Discussion Points/Suggestions |
|  |

1. National Continuity Policy Implementation Plan (NCPIP), National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20). [↑](#footnote-ref-2)