CONTINUITY OF OPERATIONS SELF-ASSESSMENT TOOL

Gradi	ng			
Green	Fully addressed - Mission capable and meets UA	Huntsville F	ERP guidance.	
Yellov	v: Partially addressed - Work is ongoing. May be n	nission capal	ble but does not fully meet UAHur	itsville guidance.
Red:	Not addressed – Does not meet UAHuntsville EF			C
Scope				
Depar	tment or Organization has established the scope for the	continuity		
	include applicability for the headquarters level and su			
eleme				
	Criteria and Reference	Score	Comments	Location of Document or
				Supporting Resource
		☐ Green		Resource
A PI	ans and Procedures	□ Yellow		
A. 11	ans and 110ccdures	□ Red		
	COOP Plan incorporates all of the following elements:	□ Green		
A.1	essential functions; alternate facility(s); vital records,	☐ Yellow		
	databases, and systems; orders of succession; delegation	\square Red		
	of authorities; COOP implementation plans and			
	procedures; COOP responsibilities; content and			
	maintenance of drive-away kits; interoperable			
	communications; and COOP personnel and other			
	employee contact lists?			
	Plans for activation and relocation with or without	□ Green		
A.2	warning?	☐ Yellow		
	N C CC 4 FOC D 4 1 1	□ Red		
	Plans for notifying the EOC, Dept. headquarters,	☐ Green		
A.3	subordinate organizations, other points of contact, COOP	☐ Yellow		
	related personnel, and non-COOP related personnel, as required?	□ Red		
	Plans for movement to alternate operating facility(s) to	☐ Green		
A.4	include directions and maps of routes from primary	□ Yellow		
11.7	location to alternate operating facility(s)?	□ Red		
	Plans for movement of records for activation and	☐ Green		
A.5	relocation, not pre-positioned, from the primary to the	□ Yellow		
	alternate operating facility(s)?	□ Red		

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Scope				
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plan to	o include applicability for the headquarters level and su	bordinate		
eleme	nts.			
	Criteria and Reference	Score	Comments	Location of
				Document or
				Supporting
				Resource
	Plans for ordering of necessary equipment/supplies not	□ Green		
A.6	already in place?	☐ Yellow ☐ Red		
	Plans for reception and in processing of COOP	☐ Green		
A. 7	personnel?	☐ Yellow		
A. /	personner:	□ Red		
	Plans for transition of responsibilities to the deployed	☐ Green		
A.8	COOP personnel?	□ Yellow		
	1	□ Red		
	Guidance for non-deployed personnel?	☐ Green		
A.9		☐ Yellow		
		□ Red		
	Identification of replacement personnel and augmentees,	☐ Green		
A.10	as necessary?	☐ Yellow		
		□ Red		
	Redeployment plans to phase down alternate facility	☐ Green ☐ Yellow		
A.11	operation and return operations, personnel, records, and equipment to the primary operating facility, when	□ Red		
	appropriate?	□ Keu		
	Reconstitution plans informing all personnel, including	□ Green		
	non-deployed personnel, that the need to COOP no	□ Yellow		
A.12	longer exists, and providing instructions for resumption	□ Red		
	of normal operations?			
	Reconstitution plans for an orderly return to the normal	☐ Green		
A.13	operating facility, or movement to other temporary or	☐ Yellow		
A.13	permanent facility(s) using a phased approach if	□ Red		
	conditions necessitate?			1

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elements. Criteria and Reference Score Comments Location Documents	
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Suppor	
Resour	
Plans to include notification of the status of relocation to Green	ce
A.14 the EOC, Dept. headquarters, and other university points	
of contact, as applicable?	
Plans for an after-action review of COOP operations and Green	
effectiveness of plans and procedures as soon as possible Vellow	
A.15 Circulates of plans and procedures as soon as possion, identifying areas for correction, and developing a Red	
remedial action plan?	
Plans have been reviewed <i>annually</i> and approved by	
A.16 senior Dept. official and Policy Group? □ Yellow	
□ Red	
Plans include guidance for accounting for personnel?	
A.17	
B. Essential Functions	
□ Red	
Identified essential functions, which must be continued	
under all circumstances with minimal disruption or	
B.1 cannot be interrupted for more than 12 hours, without \Box Red	
compromising the organization's ability to perform its	
mission?	
Capable of sustaining the essential functions until normal Green	
B.2 business activities for up to 30 days? ☐ Yellow	
☐ Red Essential functions are prioritized based on the criticality ☐ Green	
Essential functions are prioritized based on the criticality and time sensitivity of the function? □ Green □ Yellow	
B.5 and time sensitivity of the function?	

Gradi	ing						
Green		Huntsville E	RP guidance.				
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Scope	cope						
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eleme	nts.						
Criteria and Reference Sco		Score	Comments	Location of			
				Document or			
				Supporting			
	Established staffing, resource requirements, and any other	☐ Green		Resource			
	supporting activities needed to perform those functions	□ Yellow					
B.4	within 12 hours or less of COOP activation and for up to	□ Red					
	30 days?						
	Established a roster of personnel, by position, needed to	□ Green					
B.5	perform those essential functions?	☐ Yellow					
		□ Red					
D (Identified personnel assigned to the positions?	□ Green					
B.6		☐ Yellow ☐ Red					
	Identified equipment, including information technology	☐ Green					
B. 7	and telecommunications hardware needed to perform	□ Yellow					
D .,	essential functions?	□ Red					
	Identified mission critical data needed to perform	☐ Green					
B.8	essential functions?	☐ Yellow					
		□ Red					
ъ.	Identified consumable office supplies needed to perform	☐ Green					
B.9	essential functions?	☐ Yellow					
	COOR also in alledge a statement that in directed all	☐ Red ☐ Green					
B.10	COOP plan includes a statement that indicated all functions deemed not essential would be deferred?	☐ Green ☐ Yellow					
D.10	functions decined not essential would be deletted:	□ Red					
	Annual review and update of listed resources required to	☐ Green					
B.11	perform essential functions?	□ Yellow					
	•	\square Red					

Gradi	ng			
Green	1		C .	
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Scope				
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	o include applicability for the headquarters level and su	bordinate		
eleme				
	Criteria and Reference	Score	Comments	Location of Document or Supporting Resource
B.12	Do Essential Functions identify integrated support activities or dependencies on other organizations where applicable? (Interagency Recommendation)	☐ Green ☐ Yellow ☐ Red		
B.13	Have dependencies been addressed, where applicable, to ensure availability of necessary? (Interagency Recommendation)	☐ Green ☐ Yellow ☐ Red		
C. D	elegations of Authority	☐ Green ☐ Yellow ☐ Red		
C.1	Documentation of the legal authority for officials, including those below the agency head, to make key policy decisions during a coop situation?	☐ Green ☐ Yellow ☐ Red		
C.2	Identified the programs and administrative authorities needed for effective operations at all agency levels having essential functions?	☐ Green ☐ Yellow ☐ Red		
C.3	Documents the necessary authority for delineating the limits of authority and accountability?	☐ Green ☐ Yellow ☐ Red		
C.4	Documents the necessary authority of an official whom authority has been delegated to exercise agency direction, including any exceptions, and their authority to redelegate functions and activities, as appropriate?	☐ Green ☐ Yellow ☐ Red		

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eleme						
	Criteria and Reference	Score	Comments		Location of	
					Document or	
					Supporting	
	Documents the circumstances under which delegated	☐ Green			Resource	
C.5	authorities would be exercised and when they would	☐ Yellow				
C.3	terminate?	□ Red				
	Ensure that Dept. officials who might be expected to	☐ Green				
~ .	assume authorities in a COOP situation are trained to	☐ Yellow				
C.6	carry out their emergency duties, conducted at least	□ Red				
	annually?					
		☐ Green				
D. O	rders of Succession	☐ Yellow				
		☐ Red				
D 4	Establish an order of succession to the position of agency	□ Green				
D.1	head to include geographical dispersion among regional,	☐ Yellow				
	field, or satellite leadership? Establish orders of succession to other key agency	☐ Red ☐ Green				
D.2	leadership positions including Regional Director(s) or	☐ Yellow				
D.2	other agency leadership as necessary?	□ Red				
	Describe the orders of succession by positions or titles	☐ Green				
D.3	rather than names of individuals?	☐ Yellow				
		□ Red				
	Establish the rules and procedures designated officials	☐ Green				
D.4	must follow when facing the issue of succession to	☐ Yellow				
	office?	□ Red				
	Include in succession procedures the conditions under	☐ Green				
D.5	which succession will take place; method of notification;	☐ Yellow				
	and, any temporal, geographical, or organizational	□ Red				
	limitations of authorities?					

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eleme						
	Criteria and Reference	Score	Comments	Location of		
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				Supporting		
				Resource		
	Include orders of succession in the vital records of the	☐ Green				
D.6	agency and ensure they are available at the alternate	☐ Yellow				
	facility in the event of COOP activation?	☐ Red				
	Orders of succession are revised as necessary and	□ Green				
D.7	distributed promptly as changes occur?	☐ Yellow				
		□ Red				
D 0	Designate responsibility for updating and promulgating	□ Green				
D.8	orders of succession?	☐ Yellow ☐ Red				
	Provide annual briefings to designated successors on their	☐ Green				
D.9	responsibilities and on any provisions for their relocation,	☐ Yellow				
D .)	if necessary?	□ Red				
	in necessary:	□ Green				
E. A	Iternate Operating Facilities	☐ Yellow				
20, 11,	operating racinities	□ Red				
	Performed an all-hazard risk assessment for facility(s)	☐ Green				
E.1	considered for COOP use?	☐ Yellow				
		□ Red				
	Alternate facility(s) has the ability to be operational	☐ Green				
E.2	within 12 hours of COOP activation?	☐ Yellow				
		□ Red				
	Alternate facility(s) has the ability to sustain operations	□ Green				
E.3	until normal business operations can resume for up to 30	☐ Yellow				
	days?	□ Red				
E 4	Alternate facility(s) is located enough distance from any vulnerable areas or facilities?	☐ Green ☐ Yellow				
E.4	vullerable areas of facilities?	☐ Red				
		⊔ Keu				

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eleme				
Criteria and Reference Score			Comments	Location of
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				Supporting
				Resource
	Access to essential resources such as food, water, fuel,	☐ Green		
E.5	medical facilities, and municipal services from alternate	☐ Yellow		
	facility(s)?	□ Red		
E.C	Access to transportation for associates or a defined	☐ Green		
E.6	transportation plan that describes procedures for a	☐ Yellow ☐ Red		
	warning/no warning event? Alternate facility(s) has the ability to run emergency	☐ Green		
E.7	power to allow essential functions and operations to	□ Yellow		
E.7	continue in any environment?	□ Red		
	A signed MOU/MOA exists if the alternate facility is not	☐ Green		
0	owned or leased by the agency?	□ Yellow		
E.8	(MOU/MOA=Memorandum of Understanding/Agreement)			
		□ N/A		
	The MOU/MOA is reviewed annually?	☐ Green		
E.9		☐ Yellow		
Е.Э		\square Red		
		□ N/A		
	The MOU/MOA takes into consideration the time period	☐ Green		
7 40	from notification of requirement to availability of facility	☐ Yellow		
E.10	for occupancy; space and services required; and sole use	□ Red		
	of allocated space during the period of occupancy?	□ N/A		
	Alternate facility(s) is sized according to the scope of	☐ Green		
E.11	staffing needed for COOP activation?	☐ Yellow		
		\square Red		

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Depar	epartment or Organization has established the scope for the continuity					
plan to	plan to include applicability for the headquarters level and subordinate					
eleme	nts.					
	Criteria and Reference	Score	Comments	Location of		
				Document or		
				Supporting		
				Resource		
	Plans are developed to address housing for COOP	□ Green				
E.12	personnel?	☐ Yellow				
		□ Red				
	Transportation resources are identified for use at the	☐ N/A ☐ Green				
	alternate facility(s)?	☐ Yellow				
E.13	alternate facility(s)!	□ Red				
		□ N/A				
	Adequate communications exist at alternate facility(s) to	☐ Green				
E.14	perform essential functions?	☐ Yellow				
	F	□ Red				
	Alternate facility(s) provides physical security that meets	☐ Green				
E.15	all requirements established by annual threat assessments	☐ Yellow				
	and physical security surveys?	☐ Red				
	Physical security capabilities are tested annually?	☐ Green				
E.16		☐ Yellow				
2,110		□ Red				
	Alternate facility(a) has sufficient national and a sufficient	□ N/A □ Green				
E.17	Alternate facility(s) has sufficient perimeter, access, and internal security functions as required by agency policy?	☐ Green ☐ Yellow				
E.17	internal security functions as required by agency policy?	□ Red				
	Adequate life support items are available from external	☐ Green				
E.18	sources and are accessible to the facility in sufficient	☐ Yellow				
2.13	quantities to sustain 30 days of operations?	□ Red				
	Agency has pre-positioned or detailed site preparation	□ Green				
E.19	and activation plans to achieve full operational capability	☐ Yellow				
	within 12 hours of notification?	□ Red				

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eleme				
	Criteria and Reference	Score	Comments	Location of
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				Resource
	Dept. developed facility maintenance and inspection	☐ Green		
E.20	procedures to ensure its alternate facility(s) is able to	☐ Yellow		
12.20	support COOP essential functions and personnel within	\square Red		
	12 hours and for up to 30 days?			
	Dept. has addressed the use of virtual offices as an	☐ Green		
E.21	alternate facility?	☐ Yellow		
	1 (0 1 11 1	□ Red		
E 22	Agency identified all alternate facilities and provided the	☐ Green		
E.22	necessary data concerning the facility(s) to F&O?	☐ Yellow		
		☐ Red ☐ Green		
F In	teroperable Communications	☐ Yellow		
r. 111	ter oper able Communications	□ Red		
	Agency adequately identified all necessary	☐ Green		
F.1	communications media likely to be available and needed	□ Yellow		
	in an emergency situation?	□ Red		
	Dept. has the equipment resources to support the	□ Green		
F.2	essential functions?	☐ Yellow		
		\square Red		
	Interoperable communications capability is	☐ Green		
F.3	commensurate with agency's essential functions,	☐ Yellow		
1.5	including quantity as per the staffing plan within an	\square Red		
	agency COOP?			
E 4	Ability to communicate with Dept. COOP personnel, other	☐ Green		
F.4	employees, leadership, and other elements, to include	☐ Yellow		
	university administration and EOC?	\square Red		

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				Supporting		
				Resource		
	Ability to communicate with the EOC and the EMOG,	□ Green				
F.5	other departments and their COOP sites, and critical	☐ Yellow				
	customers, as required?	□ Red				
Б.	Access to data, systems, and services necessary to	□ Green				
F.6	conduct essential functions and support activities?	☐ Yellow				
	A construction of modern dent IT continue and and	☐ Red ☐ Green				
	Agency reviewed redundant IT equipment and countermeasures that provide access to data systems and	☐ Green				
F.7	services to conduct essential functions and support	□ Red				
	activities?	□ Kcu				
	Redundant communications systems for use in COOP	☐ Green				
F.8	implementation and operations within 12 hours of COOP	☐ Yellow				
1.0	activation and sustained for up to 30 days?	□ Red				
	Communications and systems interoperability with	☐ Green				
F.9	existing university infrastructures?	☐ Yellow				
		□ Red				
	Quarterly testing of the COOP Communications Plan?	☐ Green				
F.10		☐ Yellow				
1.10		□ Red				
		□ N/A				
	Validate internal and external communications	□ Green				
F.11	capabilities at all alternate facilities at least quarterly?	☐ Yellow				
		□ Red				
C V	24-1 E21 D	□ Green				
G. V	ital Files, Records and Databases	☐ Yellow				
		☐ Red				

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Has a vital records program, with a specific purpose and ☐ Green	nt or
Has a vital records program, with a specific purpose and ☐ Green	
	e
G.1 scope, been officially established within your	
organization?	
Does the program assign roles and responsibilities? ☐ Green ☐ Yellow	
□ renow □ Red	
Does the program provide for staff training? ☐ Green	-
G.3 Green	
Is the program periodically reviewed and tested?	
G.4 Yellow	
\square Red	
Within 12 hours of COOP plan activation, will your	
G.5 COOP personnel have access to the Dept. local area	
network (LAN)? \square Red	
Within 12 hours of COOP plan activation, will your	
G.6 COOP personnel have access to the Dept. vital electronic Yellow	
records? Red	
Within 12 hours of COOP plan activation, will your	
G.7 COOP personnel have access to the Dept. critical	
information systems and data?	
Within 12 hours of COOP plan activation, will your G.8 COOP personnel have access to the Dept. internal and □ Yellow	
external email and archives?	
Within 12 hours of COOP plan activation, will your	
G.9 COOP personnel have access to the Dept. vital hard copy	
records?	

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plan to include applicability for the headquarters level and subordinate elements. Criteria and Reference	Scope							
Criteria and Reference Score Comments Location of Document or Supporting Resource	Depar	tment or Organization has established the scope for the	continuity					
Criteria and Reference Comments Comments Location of Document or Supporting Resource G.10 Dept. addressed multiple redundant media for storage of vital records? Does your Agency maintain a complete inventory of records identified under Emergency Operating Records and Legal and Financial Records, along with location and access information? Does your Dept. maintain Emergency Operating Records and Legal and Financial Records at multiple sites? Does your Dept. maintain Emergency Operating Records and Legal and Financial Records at multiple sites? Red Have you performed a risk assessment to identify risks if vital records are retained in current locations and medium, and the difficulty of reconstituting them if they are destroyed? Have you determined if off site storage is necessary? Have you determined if alternative storage media is advisable? Have you determined if it is necessary to duplicate records to provide a vital records copy? Have you selected protection methods for vital records?	plan to	o include applicability for the headquarters level and su	bordinate					
Dept. addressed multiple redundant media for storage of vital records? Green vital records? Green vital records identified under Emergency Operating Records and Legal and Financial Records, along with location and access information? Green medium, and the difficulty of reconstituting them if they are destroyed? Have you determined if alternative storage media is advisable? Have you determined if it is necessary to duplicate records to provide a vital records copy? Have you selected protection methods for vital records? Green records in the protection methods for vital records? Green Gree	eleme	nts.						
Dept. addressed multiple redundant media for storage of vital records? Green vital records identified under Emergency Operating Records and Legal and Financial Records, along with location and access information? Green vital records are retained in current locations and medium, and the difficulty of reconstituting them if they are destroyed? Green vital records are retained in first storage is necessary? Green vital records advisable? Green vital records to provide a vital records copy? Have you determined if alternative storage media is advisable? Green vital records to provide a vital records copy? Vellow Red Red Green vital records to provide a vital records? Green vital records to provide a vital records copy? Vellow Red Red Green vital records to provide a vital records? Green vital records to provide a vital records? Green vital records to provide a vital records? Green vital records vital records? Green vital vital records vital records? Green vital vital records? Green vital vital records? Green vital vital vital records? Green vital vita		Criteria and Reference	Score	Comments	Location	on of		
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Dept. addressed multiple redundant media for storage of vital records? Green Yellow Red								
G.10 vital records?		Dont addressed multiple redundant made for stoness of	Стан		Resour	rce		
G.11 Does your Agency maintain a complete inventory of records identified under Emergency Operating Records and Legal and Financial Records, along with location and access information? Does your Dept. maintain Emergency Operating Records and Legal and Financial Records at multiple sites? G.12 Have you performed a risk assessment to identify risks if vital records are retained in current locations and medium, and the difficulty of reconstituting them if they are destroyed? G.14 Have you determined if off site storage is necessary? G.15 Have you determined if alternative storage media is advisable? Have you determined if it is necessary to duplicate records to provide a vital records copy? Have you selected protection methods for vital records? G.16 Have you selected protection methods for vital records? Green Yellow Red Have you selected protection methods for vital records? Green Yellow	C 10							
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Have you selected protection methods for vital records? ☐ Green ☐ Yellow	G.16	records to provide a vital records copy?						
G.17 Pellow		Have very calcuted must action matheds for vital records						
	C 17	nave you selected protection methods for vital records?						
	G.17							

Gradi	ing					
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Scope						
Depar	Department or Organization has established the scope for the continuity					
	o include applicability for the headquarters level and su					
eleme	nts.					
	Criteria and Reference	Score	Comments	Location of		
				Document or		
				Supporting		
				Resource		
C 10	Do you have procedures for routinely updating vital	☐ Green				
G.18	records to ensure that they always contain the most current information?	☐ Yellow ☐ Red				
	Have you identified records recovery experts and vendors	☐ Green				
G.19	to assist with recovery in the event of records damage?	□ Yellow				
G.1 7	to assist with recovery in the event of records damage.	□ Red				
	Have you developed and maintained a vital records plan	☐ Green				
G.20	packet?	☐ Yellow				
		□ Red				
	Does you plan packet contain a hard copy or electronic	☐ Green				
G.21	list of key agency personnel and disaster staff with up-to-	☐ Yellow				
	date telephone numbers?	□ Red				
C 22	Does it contain a vital records inventory with precise	☐ Green				
G.22	locations of vital records?	☐ Yellow ☐ Red				
	Does it contain the necessary keys or access codes?	☐ Green				
G.23	Does it contain the necessary keys of access codes!	□ Yellow				
0.25		□ Red				
	Does it list alternate operating facility locations?	☐ Green				
G.24	1 & 3	☐ Yellow				
		\square Red				
	Do you have a listing of the access requirements and lists	☐ Green				
G.25	of sources of equipment necessary to access the records?	☐ Yellow				
		□ Red				
0.26	Does it list records recovery experts and vendors?	☐ Green				
G.26		☐ Yellow ☐ Red				
		⊔ rcu		I		

Gradi	ng						
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Scope							
Depar	tment or Organization has established the scope for the	continuity					
plan to	o include applicability for the headquarters level and su	bordinate					
eleme	nts.						
	Criteria and Reference	Score	Comments	Location of			
				Document or			
				Supporting			
				Resource			
C 25	Do you have a copy of the agency's disaster recovery plan	☐ Green					
G.27	(e.g. COOP or Vital Records Recovery Plan)?	☐ Yellow					
	Do you periodically review the packet to ensure that the	☐ Red ☐ Green					
G.28	information is current?	□ Yellow					
G.20	information is current:	□ Red					
	Is a copy securely maintained at the agency's alternate	☐ Green					
G.29	operating facilities?	□ Yellow					
	F 8	□ Red					
	Have you developed a training program for all staff	□ Green					
	involved in the vital records program to include periodic	☐ Yellow					
	briefings to managers about the vital records program and	\square Red					
G.30	its relationship to their records and business needs and						
	staff training focusing on the identification, inventorying,						
	protection, storage, access to, and updating of the vital						
	records? Do you periodically review the vital records program to	☐ Green					
	address any new security issues, identify problem areas,	□ Yellow					
G.31	update information, and identify additional vital records	□ Red					
0.01	that may result from new agency programs or functions	_ 1104					
	from organizational changes?						
	Do you have capabilities for protecting unclassified	☐ Green					
G.32	and/or classified vital records and databases and	☐ Yellow					
G.32	providing access to them from the alternate operating	\square Red					
	facility?						

Green: Fully addressed - Mission capable and meets UAHuntsville ERP guidance. Yellow: Partially addressed - Work is ongoing. May be mission capable but does not fully meet UAHuntsville ERP guidance. Scope Department or Organization has established the scope for the continuity plan to include applicability for the headquarters level and subordinate elements. Criteria and Reference Score Comments Ciriteria and Reference Comments Location of Document or Supporting Resource Bis this capability-tested semi annually? H. Human Capital Does your COOP plan include agency procedures for dismissal or closure to employees that are reviewed at least annually? Does your COOP plan include agency procedures for work under various situations to continue Government operations? Does your COOP plan include agency procedures for officing free green yellow work under various situations to continue Government operations? Does your COOP plan include agency procedures for officing free green yellow work under various situations to continue Government operations? Does your COOP plan include agency procedures for officing free green yellow yellow work under various situations to continue Government operations? Does your COOP plan include agency procedures for officing free green yellowes in writing that they are so designated? Does your COOP plan include agency procedures for notifying these employees in writing that they are so designated? Does your COOP plan include agency procedures for officing free motifying free employees for mon-special categories of employees for port for or remain at work when University operations are disrupted? Does your COOP plan include agency procedures for offeren to for the process of the process of the process of the process of the procedures for offeren yellow agence of the process of the pro	Cradi	nα						
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plan to include applicability for the headquarters level and subordinate elements. Criteria and Reference								
Criteria and Reference Score Comments Location of Document or Supporting Resource								
Criteria and Reference			bordinate					
G.33 Is this capability-tested semi annually? Green Yellow Red	eleme	nts.						
Supporting Resource		Criteria and Reference	Score	Comments	Location of			
St his capability-tested semi annually? Green Yellow Red					Document or			
G.33 Is this capability-tested semi annually? Green Yellow Red					Supporting			
H. Human Capital Green Vellow Red					Resource			
H. Human Capital Green Yellow Red Green Green Yellow Green Gree		Is this capability-tested semi annually?						
H. Human Capital Green Yellow Red	G.33							
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when University operations are disrupted? Does your COOP plan include agency procedures for determining, at least annually, when an employee's ☐ Yellow formal or informal telework agreement must be amended ☐ Red	H.4							
Does your COOP plan include agency procedures for determining, at least annually, when an employee's ☐ Yellow formal or informal telework agreement must be amended ☐ Red			□ Ked					
determining, at least annually, when an employee's			☐ Green					
formal or informal telework agreement must be amended \square Red								
	H.5		L Ked					
to work at their alternative worksites on their telework-								
day when the agency is closed?								

Gradi	ng					
Green	reen: Fully addressed - Mission capable and meets UAHuntsville ERP guidance.					
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Scope						
Depar	tment or Organization has established the scope for the	continuity				
plan to	include applicability for the headquarters level and su	bordinate				
eleme						
	Criteria and Reference	Score	Comments	Location of		
				Document or		
				Supporting		
	Does your COOP plan include agency procedures for	☐ Green		Resource		
	notifying employees that if they are required to report for	□ Yellow				
	work and are not otherwise granted excused absence,	□ Red				
H.6	they will be charged absence without leave (AWOL) for					
	the period not worked and may potentially be disciplined					
	for the AWOL at the dept.'s discretion?					
	Does your COOP plan include agency procedures for	☐ Green				
	requiring managers to be responsible for determining	☐ Yellow				
H.7	closure, dismissal, and leave policies for employees on	\square Red				
	shift work and for informing employees of these policies.					
	Does your COOP plan include agency procedures for	☐ Green				
	familiarizing employees with the methods of	□ Yellow				
Н.8	communications put into place at their agency, as well as	□ Red				
11.0	the means of notification used to inform and instruct	_ 1100				
	employees?					
	Does your COOP plan include agency procedures for	□ Green				
H.9	encouraging employees to remain aware and be attentive	☐ Yellow				
	to suspicious activities?	□ Red				
11 10	Does your COOP plan include deptmental procedures for	☐ Green				
H.10	regularly testing its fire and safety public address systems?	□ Yellow □ Red				
	Does your COOP plan include agency procedures for	☐ Green				
H.11	providing supplies in the case of shelter-in-place response	□ Yellow				
	to an emergency?	□ Red				

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Scope							
Depar	tment or Organization has established the scope for the	continuity					
plan to	o include applicability for the headquarters level and sul	bordinate					
eleme	nts.						
	Criteria and Reference	Score	Comments	Location of			
				Document or			
				Supporting			
	Does your COOP plan include departmental procedures for	☐ Green		Resource			
H.12	posting clear signage for evacuation routes?	☐ Yellow					
11,12	posting clear signage for evacuation routes:	□ Red					
	Does your COOP plan include procedures for	□ Green					
H.13	having a protocol for safety and security personnel to	☐ Yellow					
	maintain communications in an emergency?	\square Red					
	Does your COOP plan include procedures for	☐ Green					
	having in place an overtime pay policy for Standby Duty,	☐ Yellow					
H.14	when employees are required to remain in a state of	□ Red					
	readiness to perform work during an emergency?						
	Does your COOP plan include procedures for	☐ Green					
H.15	having in place a policy to utilize compressed work	□ Yellow					
	schedules during an extended emergency?	□ Red					
	Does your COOP plan include procedures for	☐ Green					
H.16	having a policy for approval and use of annual and/or	☐ Yellow					
	personal leave?	□ Red					
***	Does your COOP plan include procedures for	☐ Green					
H.17	having a policy for approval and use of sick leave?	☐ Yellow					
	Does your COOP plan include agency procedures for	☐ Red ☐ Green					
	having in place a plan to fill emergency or special	☐ Yellow					
Н.18	staffing needs for excepted appointments (Temporary	□ Red					
11113	Emergency Need (Up To 1 Year) and 30-Day Critical						
	Need)?						

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Yellov	Yellow: Partially addressed - Work is ongoing. May be mission capable but does not fully meet UAHuntsville ERP guidance.					
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Scope						
Depar	tment or Organization has established the scope for the	continuity				
plan to	include applicability for the headquarters level and su	bordinate				
eleme	nts.					
	Criteria and Reference	Score	Comments	Location of		
				Document or		
				Supporting		
	Does your COOP plan include procedures for	☐ Green		Resource		
H.19	having in place a plan to fill emergency or special	□ Green □ Yellow				
п.19	staffing needs for reemploying retirees?	□ Red				
	Does your COOP plan include agency procedures for	☐ Green				
TT 00	having in place a plan to fill emergency or special	☐ Yellow				
H.20	staffing needs for reemploying buyout recipients?	\square Red				
	Does your COOP plan include agency procedures for	☐ Green				
H.21	having in place a plan to fill emergency or special	☐ Yellow				
	staffing needs for direct-hire authority (through HR)?	□ Red				
	Does your COOP plan include agency procedures for	☐ Green				
Н.22	having in place a plan to fill emergency or special staffing needs for contract with private sector temporary	☐ Yellow ☐ Red				
П.22	firms for services to meet its emergency needs?	□ Keu				
	inins for services to meet its emergency needs:					
	Does your COOP plan include agency procedures for	□ Green				
	having in place a plan to fill emergency or special service/	☐ Yellow				
Н.23	staffing needs for competitive service appointments of	\square Red				
11.25	120 days or less without the availability of Procurement					
	Services and/or Human Resources?					
	(Open purchase orders, procurement cards, etc.)	☐ Green				
	Does your COOP plan include agency procedures for having in place a plan to fill emergency or special	☐ Green ☐ Yellow				
H.24	staffing need for reemployment priority list?	□ Red				
11,2	saming need for reempto julent priority not.					

Gradi	ing				
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Scope		_			
Depar	tment or Organization has established the scope for the	continuity			
plan to	o include applicability for the headquarters level and su	bordinate			
eleme	nts.				
	Criteria and Reference	Score	Comments	Location of	
				Document or	
				Supporting	
				Resource	
	Does your COOP plan include agency procedures for	□ Green			
H.25	having access to the UAHuntsville Emergency	☐ Yellow			
	Handbook from the Public Safety/OEHS Depts.	□ Red			
		□ Green			
I Te	st, Training and Exercise Program	☐ Yellow			
1. 10	st, Training and Exercise Program	□ Red			
	Does your agency test program include quarterly testing	☐ Green			
I.1	of COOP alert, notification, and activation procedures?	☐ Yellow			
		□ Red			
	Do you semi-annually test plans for the recovery of vital	☐ Green			
I.2	classified and unclassified records, critical information	☐ Yellow			
	systems, services, and data?	□ Red			
	Do you test, quarterly, your COOP communications	☐ Green			
I.3	capabilities?	□Yellow □ Red			
	Do you annually test primary and backup infrastructure	☐ Green			
I.4	systems and services at alternate operating facilities (e.g.,	☐ Yellow			
1,-	power, water, fuel)?	□ Red			
	Does your Dept. training program include an Annual	☐ Green			
I.5	COOP awareness briefing (or other means of orientation)	☐ Yellow			
	for the entire deptartmental workforce?	□ Red			
	Annual team training for COOP personnel?	☐ Green			
I.6		☐ Yellow			
		□ Red			

Gradi	ng			
Green		Huntsville E	ERP guidance.	
Yellov	v: Partially addressed - Work is ongoing. May be n	nission capal	ble but does not fully meet UAHuntsville ERP guidance.	
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Depar	tment or Organization has established the scope for the	continuity		
plan to	include applicability for the headquarters level and su	bordinate		
eleme	nts.			
	Criteria and Reference	Score	Comments	Location of
				Document or
				Supporting
				Resource
	Annual team training for agency personnel (and host or	□ Green		
I.7	contractor personnel) assigned to activate, support, and sustain COOP operations at alternate operating facilities?	☐ Yellow ☐ Red		
	sustain COOP operations at atternate operating facilities?	□ Ked		
	Annual exercise that incorporates the deliberate and pre-	□ Green		
I.8	planned movement of the COOP personnel to an alternate	☐ Yellow		
	operating facility?	□ Red		
	A comprehensive debriefing conducted after each	☐ Green		
I.9	exercise for the participants to identify systemic	☐ Yellow		
1.9	weakness in plans and procedures and recommend COOP	□ Red		
	plans revisions?			
	Does your exercise program provide an opportunity for	□ Green		
I.10	COOP personnel to demonstrate their familiarity with	☐ Yellow		
	COOP plans and the capability to continue essential functions?	□ Red		
	Do you annually conduct a deliberate and pre-planned	☐ Green		
I.11	movement of COOP personnel to an alternate operating	☐ Yellow		
1,11	facility?	□ Red		
	Do you annually test your communications capabilities	☐ Green		
I.12	and inter- and intra-agency dependencies?	☐ Yellow		
	5 7 1	□ Red		
	Do you have plans to notify the EOC and other university	☐ Green		
I.13	points of contact, as applicable?	☐ Yellow		
		□ Red		

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Scope						
	tment or Organization has established the scope for the					
	o include applicability for the headquarters level and su	bordinate				
eleme			-			
	Criteria and Reference	Score	Comments	Location of		
				Document or Supporting		
				Resource		
		□ Green		1 tesouree		
J. De	evolution of Control and Direction	☐ Yellow				
		☐ Red				
	Does your plan for devolution identify prioritized	☐ Green				
J.1	essential functions and determine necessary resources to facilitate their immediate and seamless transfer to a	☐ Yellow				
	devolution site?	□ Red				
	Does your plan for devolution include a roster identifying	☐ Green				
	fully equipped and trained personnel at the designated	☐ Yellow				
J.2	devolution site with the authority to perform essential	\square Red				
	functions and activities when the devolution option of					
	COOP is activated?					
1.2	Does it identify the likely triggers that would initiate or	□ Green				
J.3	activate the devolution option?	☐ Yellow ☐ Red				
	Does it specify how and when direction and control of	☐ Green				
J.4	agency operations will be transferred to the devolution	□ Yellow				
	site?	\square Red				
	Does it list the necessary resources (people, equipment,	☐ Green				
J.5	and materials) to facilitate the ability to perform essential	☐ Yellow				
	functions at the devolution site?	□ Red				
	Does it establish reliable processes and procedures to	☐ Green				
J.6	acquire resources necessary to continue essential functions and sustain operations for extended periods?	☐ Yellow ☐ Red				
	runctions and sustain operations for extended periods?	□ Reu				

Gradi	ing					
Green	Green: Fully addressed - Mission capable and meets UAHuntsville ERP guidance.					
Yellov	Yellow: Partially addressed - Work is ongoing. May be mission capable but does not fully meet UAHuntsville ERP guidance.					
Red:	Not addressed – Does not meet UAHuntsville EF	RP guidance.	•	-		
Scope						
Depar	tment or Organization has established the scope for the	continuity				
plan to	o include applicability for the headquarters level and su	bordinate				
eleme	nts.					
	Criteria and Reference	Score	Comments		Location of	
					Document or	
					Supporting	
					Resource	
	Does it establish capabilities to restore or reconstitute	□ Green				
J. 7	agency authorities to their pre-event status upon	☐ Yellow				
	termination of devolution?	□ Red				
J.8	Does your Devolution site and personnel have the capability to support all COOP essential functions and	□ Yes □ No				
J.0	activities?	□ N0				
	activities:	□ Green				
K. R	econstitution Operations	□ Yellow				
12, 14	constitution operations	□ Red				
	Does your Dept. have an executable plan to transition	☐ Green				
K.1	from COOP status to an efficient normal operations status	☐ Yellow				
	once a threat or disruption has passed?	□ Red				
	Does your agency have coordinated and pre-planned	☐ Green				
K.2	options for the reconstitution of the agency regardless of	☐ Yellow				
11.2	the level of disruption causing implementation of its	□ Red				
	COOP plan?					
	Do your pre-planned options include movement back from the COOP or devolution location to the original	☐ Green ☐ Yellow				
K.3	operating site or a new operating facility if necessary?	□ Yellow □ Red				
	operating site of a new operating facility if necessary?	□ Keu				
	Do you have reconstitution procedures that inform all	☐ Green				
T7 4	personnel that the threat of or actual emergency no longer	□ Yellow				
K.4	exists, and provide instructions for resumption of normal	□ Red				
	operations?					

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Scope						
	tment or Organization has established the scope for the					
	o include applicability for the headquarters level and su	bordinate				
eleme		C		T 4. C		
	Criteria and Reference	Score	Comments	Location of Document or		
				Supporting		
				Resource		
	Do you have reconstitution procedures that supervise an	☐ Green				
K.5	orderly return to the normal operating facility or	☐ Yellow				
	movement to other temporary or permanent operating facility?	□ Red				
	Do you have reconstitution procedures that verify that all	☐ Green				
	systems, communications, and other required capabilities	☐ Yellow				
K.6	are available and operational and that the agency(s) are	□ Red				
K.0	fully capable of accomplishing all essential					
	functions/operations at the new or restored facility?					
	Do you have reconstitution procedures that instruct the	☐ Green				
T7 =	Agency POC to reports status of the relocation to the	☐ Yellow				
K.7	FOC and other points of contact, as necessary?	□ Red				
	Do you have reconstitution procedures that provide for the conduct of an after-action review of COOP operations	☐ Green ☐ Yellow				
	and the effectiveness of plans and procedures, identify	□ Yellow □ Red				
K.8	areas for correction, and develop a remedial action plan	□ кса				
	as soon as possible after the reconstitution?					
		ПС				
		☐ Green ☐ Yellow				
L. DC	partiment/Organization freat responsibilities	□ Red				
	Establishes agency COOP Program?	☐ Green				
L.1		☐ Yellow				
		□ Red				

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Scope							
Department or Organization has established the scope for the continuity							
plan to include applicability for the headquarters level and subordinate							
elements.							
Criteria and Reference		Score	Comments	Location of			
	Criteria and Reference	Score	Comments	Document or			
				Supporting			
				Resource			
L.2	Appoints a qualified and trained person as the agency	☐ Green					
	COOP program point-of-contact?	☐ Yellow					
		\square Red					
	Developed a COOP Multi-Year Strategy and Program	☐ Green					
L.3	Management Plan that includes a program budget to	☐ Yellow					
	support a viable COOP capability?	\square Red					
L.4	Developed, approved and maintains Dept. COOP plans	☐ Green					
	and procedures for headquarters and all subordinate	☐ Yellow					
	elements?	\square Red					
L.5	Conducts tests, training, and exercises of agency COOP	☐ Green					
	plans at least annually, to include COOP personnel, and	☐ Yellow					
	essential systems and equipment, to ensure timely and	\square Red					
	reliable implementation of COOP plans and procedures?						
	Participates in interagency COOP exercises to ensure	☐ Green					
L.6	effective interagency coordination and mutual support?	☐ Yellow					
	(Coordinated through Emergency Mgmt. Coordinator)	□ Red					
L.7	Notifies the EMOG and other appropriate agencies upon	☐ Green					
	any implementation of COOP plans?	☐ Yellow					
	Describes and Letter on COOD etables to the EMOC ex	☐ Red ☐ Green					
L.8	Provides updates on COOP status to the EMOG as						
	designated or if the agency's COOP status changes?	☐ Yellow ☐ Red					
	Coordinates intra agency COOR afforts and initiatives	☐ Green					
L.9	Coordinates intra-agency COOP efforts and initiatives with policies, plans, and activities in accordance with	☐ Green ☐ Yellow					
	directives related to Critical Infrastructure	□ Red					
	Protection, and all-hazards preparedness?	□ Keu					
	Protection, and an-nazards preparedness?						

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Scope						
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plan to	include applicability for the headquarters level and sul					
elements.						
	Criteria and Reference	Score	Comments	Location of		
				Document or		
				Supporting		
				Resource		
L.10	Contingency planning efforts such as Disaster Recovery	☐ Green				
	Plans, Information Assurance, Incident Command System,	☐ Yellow				
	Business Continuity Plans, etc., are integrated into the	\square Red				
	agency's COOP plan?					