

Continuity of Operations (COOP) Tabletop Exercise (TTX)

Situation Manual

[Date]

This Situation Manual (SitMan) provides exercise participants with all the necessary tools for their roles in the exercise. Some exercise material is intended for the exclusive use of exercise planners, facilitators, and evaluators, but players may view other materials that are necessary to their performance. All exercise participants may view the SitMan.

EXERCISE OVERVIEW

Exercise Name	Continuity of Operations (COOP) Tabletop Exercise (TTX)
Exercise Dates	[Indicate the start and end dates of the exercise]
Scope	This is a discussion-based exercise, planned for four hours hosted by (INSERT NAME) and conducted with multiple remote sites.
Focus Area(s)	Response and Recovery
Capabilities	See page 3
Objectives	See page 3
Threat or Hazard	Generic hazard/event, as determined by individual participating agencies.
Scenario	This COOP TTX was designed around the realistic scenario of a generic hazard/event (as appropriate to your location) which causes significant damage to your agency's building and IT infrastructure.
Sponsor	[Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable]
Participating Jurisdictions/ Organizations	Federal, State, Tribal or local levels of government agencies while utilizing the whole community approach of including applicable representative organizations (such as private sector partners, voluntary agencies, school districts, etc.) within each jurisdiction.
Point of Contact	[Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)]

GENERAL INFORMATION

Exercise Objectives and Capabilities

The following exercise objectives in Table 1 describe the expected outcomes for the exercise. The objectives are linked to capabilities, which are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The objectives and aligned capabilities are guided by senior leaders and selected by the Exercise Planning Team.

Exercise Objectives	Capability
Objective #1: County Health Department (CHD) validates agency's current COOP policies, procedures, resources and actions to maintain performance of essential functions during an incident or event that impacts the primary operating facility within the first operational period.	PHEP Capability #3: Emergency Operations Coordination
Objective #2: Coordinate continuity operations with counterparts from federal agencies, state and local government, private sector organizations and nongovernmental agencies within the first operational period.	HPP Capability #2: Health Care and Medical Response Coordination HPP Capability #3: Continuity of Health Care Service Delivery PHEP Capability #3: Emergency Operations Coordination
Objective #3: Allow participating locations to share real-time continuity of operations related preparation, response and recovery solutions with all participants.	HPP Capability #2: Health Care and Medical Response Coordination HPP Capability #3: Continuity of Health Care Service Delivery PHEP Capability #3: Emergency Operations Coordination

Table 1. Exercise Objectives and Associated Capabilities

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:

- **Players:** 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.

- **Observers:** Do not directly participate in the exercise. However, they may support the development of player responses to the situation during the discussion by asking relevant questions or providing subject matter expertise.
- **Facilitators:** Provide situation updates and moderate discussions. They also provide additional information or resolve questions as required. Key Exercise Planning Team members also may assist with facilitation as subject matter experts (SMEs) during the exercise.
- **Evaluators:** Are assigned to observe and document certain objectives during the exercise. Their primary role is to document player discussions, including how and if those discussions conform to plans, policies, and procedures.

Exercise Structure

This exercise will be a multimedia, facilitated exercise. Players will participate in the following 3 modules:

- Module 1: Activation and Relocation
- Module 2: Continuity Operations
- Module 3: Extended Continuity Operations and Reconstitution

Each module begins with a multimedia update that summarizes key events occurring within that time period. After the updates, participants review the situation and engage in functional group discussions of appropriate response and recovery issues.

After these functional group discussions, participants will engage in a moderated plenary discussion in which a spokesperson from each group will present a synopsis of the group's actions, based on the scenario.

Exercise Guidelines

- This exercise will be held in an open, no-fault environment wherein capabilities, plans, systems, and processes will be evaluated. Varying viewpoints, even disagreements, are expected.
- Respond to the scenario using your knowledge of current plans and capabilities (i.e., you may use only existing assets) and insights derived from your training.
- Decisions are not precedent setting and may not reflect your jurisdiction's/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 improve response and recovery efforts. Problem-solving efforts should be the focus.
- The assumption is that the exercise scenario is plausible, and events occur as they are presented. All players will receive information at the same time.

Exercise Evaluation

Evaluation of the exercise is based on the exercise objectives and aligned capabilities, capability targets, and critical tasks, which are documented in Exercise Evaluation Guides (EEGs). Evaluators have EEGs for each of their assigned areas. Additionally, players will be asked to complete participant feedback forms. These documents, coupled with facilitator observations and notes, will be used to evaluate the exercise and compile the After-Action Report (AAR)/Improvement Plan (IP)

MODULE 1: ACTIVATION AND RELOCATION

Scenario

[Month, Day, Year]: [Time]

During the early morning hours, an event took place that caused significant damage to your primary operating facility and the immediate surrounding area. Local authorities contacted your agency about the incident and informed that there appears to be significant structural damage, and no one will be able to access the building for at least a few weeks. Most of the region's infrastructure, including roads and bridges, is damaged or destroyed. Other district facilities, and much of your district transportation resources, are damaged or destroyed.

Key Issues

- An event has occurred that has rendered your agency's primary facility providing clinical services
- Damage to the facility, IT systems and utility systems is substantial
- Access to the primary operating facility will be restricted for the foreseeable future
- Need to maintain essential functions of your agency
- Staff notification and accountability procedures should be implemented
- Activation of alternate facility should be accomplished

Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 1. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

The following questions are provided as suggested subjects that you may wish to address as the discussion progresses. These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

1. Does your agency have an approved/signed continuity plan that addresses how you will maintain your essential functions following any event that could impact your operations? Are all employees trained on their responsibilities during a continuity event? Have you exercised the plan to ensure it can be implemented as written?
2. What are your agency's essential functions? How many employees are needed to carry out these functions?
3. When and how do you make the decision to activate your agency's continuity plan? Who are the key decision makers? Who are the stakeholders that need to be informed of this decision?

4. If key decision makers are missing or incapacitated, who assumes their authority? Are there current, approved orders of succession and delegations of authority? How deep are the orders of succession (1 deep, 2 deep, etc.)? What activities would require a delegation of authority?
5. How do you alert/notify staff following a continuity event of the agency's operational status? Do you have a backup process in place? How often is the process tested?
6. What actions are required to ensure your alternate location is made operational? Do you have a checklist with assigned responsibilities? Are the resources necessary for activation and relocation (checklists, phone lists, equipment, etc.) available off-site or offline? If the resources are not available off-site or offline, how will you provide essential services?

MODULE 2: CONTINUITY OPERATIONS

Scenario

[Month, Day, Year]: [Time]

Staff members that are on the relocation group have reported to their alternate location(s) according to the continuity plan and notification directions. Those staff members not required for immediate maintenance of essential functions remain at home awaiting instructions. There are no new updates on the status of your primary facility. It appears that it will be at least a month before you will be back in the primary operating location. The event has destroyed the primary IT systems in your facility. You must rely on off-site or backup systems for operations. Only hardcopy files available off-site can be accessed.

Key Issues

- Reception and in-processing of continuity personnel is occurring
- Guidance for non-deployed personnel needs to be distributed
- Vital records and vital systems access need to be validated
- Off-site communications equipment is required
- Staffing issues related to continuity

Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 1. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

The following questions are provided as suggested subjects that you may wish to address as the discussion progresses. These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

1. What are your immediate priorities to address to maintain essential functions off-site? What is the impact to your organization? Are there any long-term impacts to consider?
2. Have you identified which staff members are required to support your agency's essential functions? Are they formally designated in writing?
3. Has staff been trained and exercised in continuity operations? Do they have drive-away kits (go-kits) with the necessary tools to continue operations?
4. What type of communications equipment will be available to continuity personnel off-site? Are there any known shortfalls?

5. Are there any special concerns for site access, security or badging requirements at your alternate location?
6. Will your continuity personnel be able to access the records and systems required to operate? Do you have a records recovery plan for files in your primary facility?
7. Does your organization have a vital records and systems inventory? Are the records up to date?

MODULE 3: EXTENDED CONTINUITY OPERATIONS & RECONSTITUTION

Scenario

[Month, Day, Year]: [Time]

It has been almost 3 weeks since the event that affected your primary operating facility. The structural issues identified were not as severe as originally thought. Because of the damage, the building will have to be completely renovated prior to moving your operations back from your continuity site. The estimated timeframe is at least 3 months. As part of the reconstitution process, you will need a reconstitution team designated to participate in the redesign of the facility to ensure all your operating requirements are addressed. This situation may provide an opportunity to improve the design of your primary facility, not simply replace what already existed.

Key Issues

- Reconstitution planning considerations need to be addressed
- Reconstitution Planning Team composition
- Orderly transition of essential functions back to primary operating facility

Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 1. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

The following questions are provided as suggested subjects that you may wish to address as the discussion progresses. These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

[Functional Group]

1. Have you pre-defined policies for staffing management in a continuity situation? What are your policies for pay, leave, work scheduling, benefits for both continuity personnel and non-continuity personnel?
2. Do you have a pre-defined method to keep in contact with non-continuity personnel to provide updates on operating status and staffing issues? Is telework authorized for these employees?
3. Are there any partner agencies that will be impacted by a short-term or long-term relocation or reduction of non-essential activity?

4. Do you have a memorandum of understanding or other written agreement to occupy your alternate site? Is there a time limit on your operations?
5. Do you have a section of your continuity plan that addresses the reconstitution process? Is there a reconstitution manager to lead the process? Who is designated to serve on the reconstitution team?
6. What documents or information will be required to conduct reconstitution planning (equipment requirements, utility requirements, office layout, etc.)? Are these documents part of your vital records and available remotely?
7. What external partners will be required to conduct effective reconstitution planning?

APPENDIX A: EXERCISE SCHEDULE

Note: Because this information is updated throughout the exercise planning process, appendices may be developed as stand-alone documents rather than part of the SitMan.

Date	[Insert Date]
[Time]	Registration
[Time]	Welcome and Introductions
[Time]	Module 1: Activation and Relocation
[Time]	Break
[Time]	Module 2: Continuity Operations
[Time]	Break
[Time]	Module 3: Extended Continuity Operations & Reconstitution
[Time]	Break
[Time]	Hotwash
[Time]	Closing Comments

APPENDIX B: EXERCISE PARTICIPANTS

Participating Organizations
Federal
[Federal Participant]
[Federal Participant]
[Federal Participant]
State
[State Participant]
[State Participant]
[State Participant]
[Jurisdiction A]
[Jurisdiction A Participant]
[Jurisdiction A Participant]
[Jurisdiction A Participant]
[Jurisdiction B]
[Jurisdiction B Participant]
[Jurisdiction B Participant]
[Jurisdiction B Participant]

APPENDIX C: RELEVANT PLANS

[Insert excerpts from relevant plans, policies, or procedures to be tested during the exercise.]

APPENDIX D: ACRONYMS

Acronym	Term
HSEEP	Homeland Security Exercise and Evaluation Program
SitMan	Situation Manual
TTX	Tabletop Exercise
COOP	Continuity of Operations
CHD	County Health Department

Continuity of Operations (COOP) Tabletop Exercise (TTX)



EXERCISE SCENARIO

During the early morning hours, an event took place that caused significant damage to your primary operating facility and the immediate surrounding area. Local authorities contacted your agency about the incident and informed that there appears to be significant structural damage, and no one will be able to access the building for at least a few weeks. Most of the region's infrastructure, including roads and bridges, is damaged or destroyed. Other district facilities, and much of your district transportation resources, are damaged or destroyed.

PUBLIC HEALTH IMPACTS:

- The following CHD services may be interrupted due to the facilities being impacted:
 - Clinical
 - WIC
 - Vital Statistics

EXERCISE-SPECIFIC OBJECTIVES

Exercise Objective #1: County Health Department (CHD) validates agency's current COOP policies, procedures, resources and actions to maintain performance of essential functions during an incident or event that impacts the primary operating facility within the first operational period.

Exercise Objective #2: Coordinate continuity operations with counterparts from federal agencies, state and local government, private sector organizations and nongovernmental agencies within the first operational period.

Exercise Objective #3: Allow participating locations to share real-time continuity of operations related preparation, response and recovery solutions with all participants.

Capabilities:

HPP 2: Health Care and Medical Response Coordination

HPP 3: Continuity of Health Care Service Delivery

PHEP 3: Emergency Operations Coordination

KEY ISSUES:

- An event has occurred that has rendered your agency's primary facility providing clinical services
- Damage to the facility, IT systems and utility systems is substantial
- Access to the primary operating facility will be restricted for the foreseeable future
- Need to maintain essential functions of your agency
- Staff notification and accountability procedures should be implemented
- Activation of alternate facility should be accomplished

NOTES:

DISCUSSION QUESTIONS:

The focus of your discussion should center on how your agency will maintain your essential functions during this event. Do not focus on the particulars of your response to the event itself (especially for first responder and emergency management participants). Rather, use the discussion time to validate your plans and procedures and finding potential improvement areas.

1. Does your agency have an approved/signed continuity plan that addresses how you will maintain your essential functions following any event that could impact your operations? Are all employees trained on their responsibilities during a continuity event? Have you exercised the plan to ensure it can be implemented as written?
2. What are your agency's essential functions? How many employees are needed to carry out these functions?
3. When and how do you make the decision to activate your agency's continuity plan? Who are the key decision makers? Who are the stakeholders that need to be informed of this decision?
4. If key decision makers are missing or incapacitated, who assumes their authority? Are there current, approved orders of succession and delegations of authority? How deep are the orders of succession (1 deep, 2 deep, etc.)? What activities would require a delegation of authority?
5. How do you alert/notify staff following a continuity event of the agency's operational status? Do you have a backup process in place? How often is the process tested?
6. What actions are required to ensure your alternate location is made operational? Do you have a checklist with assigned responsibilities? Are the resources necessary for activation and relocation (checklists, phone lists, equipment, etc.) available off-site or offline? If the resources are not available off-site or offline, how will you provide essential services?

Continuity of Operations (COOP)

Tabletop Exercise (TTX)



EXERCISE SCENARIO

Staff members that are on the relocation group have reported to their alternate location(s) according to the continuity plan and notification directions. Those staff members not required for immediate maintenance of essential functions remain at home awaiting instructions. There are no new updates on the status of your primary facility. It appears that it will be at least a month before you will be back in the primary operating location. The event has destroyed the primary IT systems in your facility. You must rely on off-site or backup systems for operations. Only hardcopy files accessible off-site can be accessed.

PUBLIC HEALTH IMPACTS:

- The following CHD services may be interrupted due to the facilities being impacted:
 - Clinical
 - WIC
 - Vital Statistics

EXERCISE-SPECIFIC OBJECTIVES

Exercise Objective #1: County Health Department (CHD) validates agency's current COOP policies, procedures, resources and actions to maintain performance of essential functions during an incident or event that impacts the primary operating facility within the first operational period.

Exercise Objective #2: Coordinate continuity operations with counterparts from federal agencies, state and local government, private sector organizations and nongovernmental agencies within the first operational period.

Exercise Objective #3: Allow participating locations to share real-time continuity of operations related preparation, response and recovery solutions with all participants.

Capabilities:

HPP 2: Health Care and Medical Response Coordination

HPP 3: Continuity of Health Care Service Delivery

PHEP 3: Emergency Operations Coordination

KEY ISSUES:

- Reception and in-processing of continuity personnel is occurring
- Guidance for non-deployed personnel needs to be distributed
- Vital records and vital systems access need to be validated
- Off-site communications equipment is required
- Staffing issues related to continuity

NOTES:

DISCUSSION QUESTIONS:

Discussion for Module 2 should focus on your agency's plans and procedures to operate at the alternate location for a period of 30 days or more.

1. What are your immediate priorities to address to maintain essential functions off-site? What is the impact to your organization? Are there any long-term impacts to consider?
2. Have you identified which staff members are required to support your agency's essential functions? Are they formally designated in writing?
3. Has staff been trained and exercised in continuity operations? Do they have drive-away kits (go-kits) with the necessary tools to continue operations?
4. What type of communications equipment will be available to continuity personnel off-site? Are there any known shortfalls?
5. Are there any special concerns for site access, security or badging requirements at your alternate location?
6. Will your continuity personnel be able to access the records and systems required to operate? Do you have a records recovery plan for files in your primary facility?
7. Does your organization have a vital records and systems inventory? Are the records up to date?

Continuity of Operations (COOP)

Tabletop Exercise (TTX)



EXERCISE SCENARIO

It has been almost 3 weeks since the event that affected your primary operating facility. The structural issues identified were not as severe as originally thought. Because of the damage, the building will have to be completely renovated prior to moving your operations back from your continuity site. The estimated timeframe is at least 3 months. As part of the reconstitution process, you will need a reconstitution team designated to participate in the redesign of the facility to ensure all your operating requirements are addressed. This situation may provide an opportunity to improve the design of your primary facility, not simply replace what already existed.

PUBLIC HEALTH IMPACTS:

- The following CHD services may be interrupted due to the facilities being impacted:
 - Clinical
 - WIC
 - Vital Statistics

EXERCISE-SPECIFIC OBJECTIVES

Exercise Objective #1: County Health Department (CHD) validates agency’s current COOP policies, procedures, resources and actions to maintain performance of essential functions during an incident or event that impacts the primary operating facility within the first operational period.

Exercise Objective #2: Coordinate continuity operations with counterparts from federal agencies, state and local government, private sector organizations and nongovernmental agencies within the first operational period.

Exercise Objective #3: Allow participating locations to share real-time continuity of operations related preparation, response and recovery solutions with all participants.

Capabilities:

HPP 2: Health Care and Medical Response Coordination

HPP 3: Continuity of Health Care Service Delivery

PHEP 3: Emergency Operations Coordination

KEY ISSUES:

- Reconstitution planning considerations need to be addressed
- Reconstitution Planning Team composition
- Orderly transition of essential functions back to primary operating facility

NOTES:

DISCUSSION QUESTIONS:

Discussion should focus on the activities required to reconstitute operations back to your primary operating facility or a new primary operating facility (if required). This should be an orderly process.

1. Have you pre-defined policies for staffing management in a continuity situation? What are your policies for pay, leave, work scheduling, benefits for both continuity personnel and non-continuity personnel?
2. Do you have a pre-defined method to keep in contact with non-continuity personnel to provide updates on operating status and staffing issues? Is telework authorized for these employees?
3. Are there any partner agencies that will be impacted by a short-term or long-term relocation or reduction of non-essential activity?
4. Do you have a memorandum of understanding or other written agreement to occupy your alternate site? Is there a time limit on your operations?
5. Do you have a section of your continuity plan that addresses the reconstitution process? Is there a reconstitution manager to lead the process? Who is designated to serve on the reconstitution team?
6. What documents or information will be required to conduct reconstitution planning (equipment requirements, utility requirements, office layout, etc.)? Are these documents part of your vital records and available remotely?
7. What external partners will be required to conduct effective reconstitution planning?