**State of New Hampshire**

**Continuity of Operations Plan**

**Template**





**Updated**

**September 2016**

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**How to Use This Document**

This Continuity of Operations (COOP) template provides the base or framework for which a viable continuity plan can be created from. This template follows the key continuity planning elements covered in Continuity Guidance Circulars (CGCs) 1 & 2, dated October 2013. This template was also created to align with National Security Presidential Directive 51 (NSPD-51) and Homeland Security Presidential Directive 20 (HSPD-20), dated 2007.

This document is intended to provide the framework for a COOP Plan, and as such, has numerous blanks and prompts for information. This plan does not include all required content or information and is intended to be modified to fit the entity’s unique planning requirements. Entities must review their mission, organizational structure, functions, activities, and resources as well as the threats and hazards that could impede the entity’s operations. The COOP Plan will provide guidance on how to ensure that an entity’s Mission Essential Functions can continue in a continuity event. This plan will cover the 10 elements of a viable continuity plan:

* Essential Functions
  + Mission Essential Functions – *Functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial/economic base.*
  + Essential Supporting Activities – *Functions that an organization must continue during a continuity activation that enable Mission Essential Functions to be completed.*
* Orders of Succession
* Delegations of Authority
* Continuity Facility(ies)
* Continuity Communications
* Essential Records Management
* Human Capital
* Test, Training, and Exercise Program
* Devolution of Control and Direction
* Reconstitution Operations

During the planning process, it is recommended that the entity review existing plans, policies, procedures, etc. which may contain guidance that informs or necessitates elements of or triggered responses in the continuity plan. The entity should consider limiting its dissemination and access to this plan. The plan should include a statement as to how the document and information is to be handled. Pursuant to RSA 91-A:5 IV & VI, it is recommended that the entity’s COOP Plan be restricted as Limited Purpose Release. Sample verbiage or language is provided to assist in developing the plan. The sample language provided in the template should be expanded, deleted or modified as necessary to fit the needs of the entity using the template. This includes tables, charts, checklists or other tools within the template. Add acronyms and definitions into the glossary that reflect the relevant terms used by your Entity.

Highlighted text indicates an area that the entity can substitute their name or information.

Red text indicates instructions for how the entity should complete the respective section. The red text should not be included in an entity’s final plan.

Special Note for State Agencies that are ESF Lead or Support Agencies – the responsibilities to the ESF should be considered Mission Essential Functions.

The following checklist will help guide documents and plan information needed in order to complete your Entity’s Continuity of Operations Plan.

|  |  |  |  |
| --- | --- | --- | --- |
| **Essential Functions** | | **Yes** | **No** |
|  | Essential functions are identified and prioritized |  |  |
| **Support Functions** | | **Yes** | **No** |
|  | Essential emergency management plans are identified |  |  |
|  | Plans include: |  |  |
|  | • Emergency Operations Plan |  |  |
|  | • Communications Plan |  |  |
|  | • Pandemic Plan |  |  |
|  | *• (Add additional plans as needed)* |  |  |
|  | *• (Add additional plans as needed)* |  |  |
|  | *• (Add additional plans as needed)* |  |  |
|  | Essential legal / financial records are identified, such as: |  |  |
|  | • Accounts receivable |  |  |
|  | • Contracting and acquisition files |  |  |
|  | • Official personnel files |  |  |
|  | • Social Security |  |  |
|  | • Payroll |  |  |
|  | • Retirement |  |  |
|  | • Insurance records and property management |  |  |
|  | • Inventory records |  |  |
|  | Support for essential functions are identified, including: |  |  |
|  | • Staffing |  |  |
|  | • Resources |  |  |
|  | • Critical data and data systems |  |  |
|  | • Processes and procedures exist to acquire resources to continue essential functions and sustain operations for up to 30 days |  |  |
|  | • Employees are trained in household emergency preparedness |  |  |
|  | • Rosters of trained staff with the authority to perform essential functions and activities are maintained |  |  |
| **Hazard Vulnerability Analysis** | | **Yes** | **No** |
|  | A Hazard Identification and Risk Assessment has been undertaken and risks prioritized Concept of Operations (CONOPS) – the State’s HIRA may be utilized in lieu or addition to a local HIRA |  |  |
| **Concept of Operations (CONOPS)** | | **Yes** | **No** |
|  | How to activate and implement your COOP Plan is defined, including: |  |  |
|  | • Roles and functions of leadership and staff in various scenarios |  |  |
|  | • Detailed description of how operational decisions will be made |  |  |
|  | • Necessary actions to be taken |  |  |
|  | • Information flow that will accompany the actions |  |  |
|  | • Validation by those who must take the actions |  |  |
| **Organization Foundation Information** | | **Yes** | **No** |
|  | • Includes Delegations of Authority |  |  |
|  | • Rules and procedures for order of succession include initiating conditions, notification methods and terminating conditions |  |  |
|  | • Includes Orders of Succession (to assume responsibility-including initiating conditions, notification methods, and terminating conditions) |  |  |
| **Communications** | | **Yes** | **No** |
|  | • Procedures/plans exist for communications with COOP contingency staff, management, and other organizational components |  |  |
|  | • Procedures/plans exist for communications with other agencies and emergency personnel |  |  |
|  | • COOP Plan includes provisions for establishing interoperable communications with all identified essential internal and external organizations, critical customers, and the public |  |  |
|  | • Redundant communication systems are identified |  |  |
| **Alternate Facility(ies)** | | **Yes** | **No** |
|  | • Immediate capability exists to operate under potential threat conditions in alternate facility |  |  |
|  | • Staff for Emergency Relocation Group (ERG) are identified |  |  |
|  | • Sufficient space and equipment to sustain the relocating organization is identified |  |  |
|  | • Pre-positioned resources are identified or contingency contracts are established with appropriate resource providers |  |  |
|  | • COOP Plan includes consideration for redundant communication systems at the alternate facility |  |  |
|  | • Alternate Facility(ies) enable logistical support, services, and infrastructure systems e.g., water, electrical power, heating, and air conditioning) |  |  |
|  | • COOP Plan addresses considerations for the health and safety of relocated employees |  |  |
|  | • COOP Plan addresses physical security and access controls at the alternate facility |  |  |
| **Training and Exercises** | | **Yes** | **No** |
|  | COOP Plan includes: |  |  |
|  | • Annual agency training and exercising of policies and procedures |  |  |
|  | • Quarterly drill of emergency alert, notification, and communication systems and procedures |  |  |
|  | • Refresher training and orientation for COOP staff |  |  |
|  | • Inter-agency exercising where applicable and feasible |  |  |
|  | • Annual review process and the ability to make any needed revisions |  |  |
| **Maintenance and Updates** | | **Yes** | **No** |
|  | Improvement Plans are developed based on lessons learned from exercises and real-time activations |  |  |
|  | The COOP Plan is reviewed and necessary changes made |  |  |

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Entity COOP Plan Cover Page

Entity

Date

Address

Logo

Etc.

Administrative Handling Instructions

The information gathered in this Continuity of Operations Plan contains information relating to internal personnel practices and is related to the preparation for and the carrying out of emergency functions. This document is therefore exempt from public disclosure pursuant to NH RSA 91-A:5 IV and VI, and is therefore exempt and Limited Purpose Release. This document should be safeguarded, handled, transmitted, stored, and destroyed in a manner that precludes unauthorized access. Reproduction or dissemination of this document, in whole or in part, without entity approval is NOT authorized.

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# Executive Summary

In this section, the entity should summarize the purpose of the plan and include a brief overview of the plan’s contents related to the 10 elements of a viable Continuity of Operations Plan.

This Continuity of Operations (COOP) Plan for the entity presents a management framework, establishes operational procedures to sustain Mission Essential Functions and Essential Supporting Activities if normal operations are not feasible, and guides the restoration of the organization’s full functions. This Plan provides for attaining operational capability as soon as possible, no later than 12 hours following an event that dictates the activation of this Plan and ensuring sustainment of operations for 30 days or longer.

Entity has operations that must be performed, or rapidly and efficiently resumed, in an emergency. While the severity of an incident or event cannot be fully predicted, planning for such conditions can mitigate the impacts of the incident or event on Entity’s staff, Facility(ies), and the Entity’s mission as a whole.

Entity has prepared this plan as a site specific COOP Plan to ensure that Mission Essential Functions and Essential Supporting Activities can be performed during an emergency – either if the emergency affects just Entity and the services that it provides or the impacts are more widespread. This plan is the foundation upon which Entity’s COOP capabilities are built. This is an important resource in ensuring that entity can conduct its mission and provide essential services to list who receives services from entity.

The plan is prepared in accordance with National Security Presidential Directive 51 (NSPD-51) and Homeland Security Presidential Directive 20 (HSPD-20) as well as under guidance from Continuity Guidance Circular 1 (CGC 1) and Continuity Guidance Circular 2 (CGC 2). This document was further designed to align with planning and continuity requirements as required by standards of the Emergency Management Accreditation Program (EMAP).

The basic elements of a Viable Continuity of Operations Plan are as follows:

* Essential Functions
  + Mission Essential Functions – *Functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial/economic base.*
  + Essential Supporting Activities – *Functions that an organization must continue during a continuity activation that enable Mission Essential Functions to be completed.*
* Orders of Succession
* Delegations of Authority
* Continuity Facility(ies)
* Continuity Communications
* Essential Records Management
* Human Capital
* Test, Training, and Exercise Program
* Devolution of Control and Direction
* Reconstitution Operations

Three additional, important elements of COOP Planning include:

* Budget & Acquisition
* Planning and Program Management
* Risk Management

Objectives

List Objectives and ensure that the plan identifies how the plan was developed as well as how the objectives were identified. The explanation should show how all stakeholders were included as well as how the HIRA was considered.

Situations

List the situations that this plan covers

Primary Facilities

List Primary Facilities

Alternate Facility(ies)

List Alternate Facility(ies)

For additional information on Alternate Facility(ies) see Annex B of the Plan.

Mission Essential Functions and Essential Supporting Activities

Special Note for State Agencies that are ESF Lead or Support Agencies – the responsibilities to the ESF should be considered Mission Essential Functions.

| **Priority** | **Mission Essential Function** |
| --- | --- |
| [priority #] | [list function] |
| [priority #] | [list function] |
| [priority #] | [list function] |
| [priority #] | [list function] |
| [priority #] | [list function] |

| **Priority** | **Essential Supporting Activities** |
| --- | --- |
| [priority #] | [list function] |
| [priority #] | [list function] |
| [priority #] | [list function] |
| [priority #] | [list function] |
| [priority #] | [list function] |

For additional information on essential functions and supporting activities see Annex A of the Plan.

Testing, Training, and Exercising

All staff must be aware of the COOP Plan, including how it is activated and implemented. Staff with COOP responsibilities must also understand the specifics of the organization’s COOP Plan, their specific roles, and the resources required to complete their responsibilities. Summarize Testing, Training, and Exercising requirements here.

Plan Maintenance

List Plan maintenance requirements and information about updating the plan here.

# Promulgation Statement

The Entity is responsible for insert entity’s mission. Entity recognizes and acknowledges that ( insert critical responsibilities) are the responsibility of the Entity. To accomplish this mission, Entity must ensure its operations are performed efficiently and with minimal disruption. Therefore, it is a policy, and a requirement set upon Entity to maintain a viable Continuity of Operations (COOP) Plan to ensure high levels of service quality and availability.

Entity’s COOP Plan was developed to mitigate the effects of an incident or emergency which might disrupt the agency’s day-to-day and emergency operations. This document provides planning guidance for implementing Continuity of Operations and associated programs to ensure the organization is capable of conducting its Mission Essential Functions and Essential Supporting Activities under all threats, hazards, and conditions.

This Plan will supplement Entity’s administrative policies, standard operating procedures/guidelines, and will also integrate with the [list other plans here]. This plan shall become effective upon approval of the signatories below and shall supersede any previous versions of Entity’s COOP Plan.

All individuals who have responsibilities outlined in this COOP Plan shall read and understand their roles and responsibilities. Those individuals shall conduct and participate in training, drills, and exercises, plan maintenance, and any other efforts needed to support this plan. The following Entity’s staff members approve and adopt this plan for Entity and agree to the procedures that are to be followed in the event of an emergency that impacts the Facility(ies) and employees for whom they are responsible.

(include signature lines below for entity officials approving the plan) – Ensure those individuals that are signing the plan have the authority to do so and to institute or implement the plan.

Approved: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_

**[Name/Title]**

Approved: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_

**[Name/Title]**

Approved: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_

**[Name/Title]**

Approved: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_

**[Name/Title]**

# Record of Changes

Submit recommended changes to this document to Entity via insert communications method

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# Record of Distribution

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# Introduction

## Purpose

This section should explain the importance of Continuity of Operations Planning to the Entity and should include typical emergency events anticipated to be addressed by the Continuity of Operations Plan. The introduction should also describe the background behind Continuity of Operations Planning which may include a discussion of recent events that have led to the increased emphasis on the importance of viable Entity continuity capability. Sample language is provided below.

To accomplish the mission of Entity it is critical that the identified Mission Essential Functions (MEFs) are performed with minimal disruption, especially during the initial phases of an emergency. This document serves as the base for building a successful Continuity of Operations (COOP) plan as well as related COOP programs. The organization should be capable of performing their MEFs quickly and efficiently during an emergency situation, and when normally available resources are delayed or not available. While it is difficult to determine the severity and impacts of an emergency; effective planning can mitigate the effects of incidents as well as the impacts on the MEFs, personnel, Facility(ies), and other critical entity resources.

It is important to follow an all-hazards approach when performing COOP planning. The COOP Plan is part of a much larger planning process which seeks to determine risks and vulnerabilities associated with natural disasters, technological disasters, and other human caused disasters. With the increasing number of technological incidents (intentional and unintentional) as well as terrorist use of WMDs (conventional and unconventional) the need for COOP planning has increased significantly.

This is not an emergency response guide; it is intended to instruct members of Entity on how to continue the identified mission essential functions during continuity incidents. For more information of the entity’s emergency response plan refer to:

[Insert relevant emergency plans, policies, procedures, etc. that inform this plan]

## Scope

This section should include the scope of the plan and how it is related to normal operations and COOP operations of the entity. The scope should state which personnel (positions) this plan may apply to as well as requirements for familiarity.

## Situation Overview

COOP planning must operate under the assumption that there may or may not be information about a pending threat or vulnerability and that the [entity] must react with little or no notice.

The [Entity’s] Continuity facility(ies) (herein- alternate facility(ies)) were selected following an all-hazards risk assessment of Facility(ies) for continuity operations use. This risk assessment is based upon the [Local Jurisdiction’s] Hazard Mitigation Plan that covers where Entity is located, Threat & Hazard Identification and Risk Assessment (THIRA), and the State Hazard Mitigation Plan. This risk assessment addresses the following:

• Identification of all hazards

• A vulnerability assessment to determine the effects of all hazards

• A cost-benefit analysis of implementing risk mitigation, prevention, or control measures

• A formal analysis by management of acceptable risk

Insert Entity’s Risk Assessment and the Local Community’s Risk Assessment from the hazard mitigation plan. Add or remove relevant/non-relevant hazards.

The State of New Hampshire THIRA and Hazard Mitigation Plan acknowledge the following hazards to exist within the State:

| **Hazard** | **Probability** | **Severity** | **Risk** |
| --- | --- | --- | --- |
| Flooding | High | Moderate | **High** |
| Coastal Flooding | Moderate | Moderate | **High** |
| Dam Failure | Low | Moderate | **Moderate** |
| Drought | Low | Low | **Low** |
| Wildfire | Low | Low | **Low** |
| Earthquake | Low | High | **Moderate** |
| Landslide | Low | Low | **Low** |
| Radon | Moderate | Low | **Moderate** |
| Tornado/Downburst | Low | Moderate | **Moderate** |
| Hurricane | Low | Moderate | **Moderate** |
| Lightning | Low | Low | **Low** |
| Severe Winter Weather | High | Low | **Moderate** |
| Snow Avalanche | Low | Low | **Low** |
| Epidemic | Moderate | Moderate | **High** |
| Radiological | Low | Moderate | **Moderate** |
| Fire & HAZMAT | Low | Low | **Low** |
| Terrorism | Low | Low | **Low** |

|  |  |  |
| --- | --- | --- |
| **Natural** | **Technological** | **Human-Caused/Terrorism** |
| Earthquake  Flood  Hurricane / Typhoon  Winter Storm / Ice storm | Hazmat Release – Chemical  Hazmat Release – Radiological | Active Shooter  Cyber Attack  Explosive Devices  Fire - Structural |

Insert any Risk Management plans or information here as available.

Insert other information related to the entities operations that are not necessarily the MEFs. This could include any LOAs/MOUs or mutual aid agreements that the entity has. This could also include information on how other entities or jurisdictions may rely on special resources that this entity has and how the plan ensures that those special resources are available if needed.

Insert demographic information here, including the area of responsibility/operations, community demographics (land and water area as well as population) and other general information about the jurisdiction where the entity is located. Also consider including the number of employees, basic structure, buildings owned, and other general information about the entity.

## Planning Assumptions

This section should list the assumptions that guided the development of the Continuity of Operations Plan. Below are examples of planning assumptions; revise to reflect the assumptions of your Entity:

* Emergencies or threatened emergencies may adversely affect the Entity’s mission essential functions and ability to provide services to clients or support to external agencies.
* In the event of an emergency, the Entity may need to rely on other Entities for supplemental personnel and resources in order to continue mission essential functions.
* Emergencies and threatened emergencies differ in order of priority and impact.
* Leadership and personnel will continue to recognize responsibilities to public safety and exercise their authority to implement the Continuity of Operations Plan in a timely manner when confronted with events impairing Entity mission essential functions.
* The Continuity of Operations Plan can serve as a basis for future development of a regional plan with neighboring organizations or entities that could incorporate mutual aid agreements, alternate facility(ies) locations and inter-organizational plans to ensure a coordinated response in the event of an emergency.
* If properly implemented, the Continuity of Operations Plan will reduce or prevent disaster-related losses.
* For minor incidents, Entities may implement their Continuity of Operations Plan at their own discretion.
* Some hazards, such as weather events, cannot be avoided or prevented. These types of events will be prepared for to the best state of readiness possible.
* Any hazard not identified in this plan, or other related plans, is not to be considered impossible to occur. Any unforeseen hazard may occur, and thus a response to a similar hazard type will be implemented. An After Action Report will be written and formed into an Improvement Plan to ensure that the hazard type is included in future instances.
* The Continuity of Operations Plan is to be considered a living document, and should be updated annually.

## Objectives

This section should describe the objectives of the program for the Entity as a whole. Sample language is provided below. Ensure that the plan identifies how the plan was developed as well as how the objectives were identified. The explanation should show how all stakeholders were included as well as how the HIRA was considered.

The following are the Entity’s Continuity Program objectives:

* Ensure the continuous performance of Entity’s mission essential functions/operations during any and all types of emergencies.
* Reduce loss of life and minimize damages and losses to property and the environment.
* Execute successful lines of succession and delegations of authority in the event that a disruption renders Entity leadership is unavailable, incapacitated, or incapable of performing their duties, roles, and responsibilities.
* Ensure that the Entity has alternate Facility(ies), equipment, Essential records and other assets, and the means to protect these assets.
* Achieve a timely and orderly recovery from an emergency and reconstitution of mission essential functions.
* Ensure and validate continuity readiness through a test, training and exercise program to support the implementation of the Entity’s Continuity of Operations Plan.

## Security and Privacy Statement

This document is exempt under RSA 91-A and designated as Limited Purpose Release. Portions of this plan contain information related to the internal personnel practices of Entity and this plan is related to the preparation for and the carrying out of emergency functions. Therefore this document is exempt from public disclosure pursuant to NH RSA 91-A:5 sections IV and VI. This document should be safeguarded, handled, transmitted, stored, and destroyed in a manner that precludes unauthorized access. Reproduction or dissemination of this document, in whole or in part, without Entity approval is NOT Authorized.

Some of the information contained within this plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, personnel, services, and systems of Entity or otherwise impair the ability to carry out Mission Essential Functions and Essential Supporting Activities. Distribution of the COOP Plan, in whole or in part, is limited to those personnel whom have a valid need to know the information in order to successfully implement the plan.

Entity will distribute copies of the Continuity of Operations Plan on a need to know basis. In addition, copies of the plan will be distributed to other organizations as necessary to promote information sharing and facilitate a coordinated continuity efforts. Further distribution of the plan, in hardcopy or electronic form, is not allowed without approval from the Entity. Entity will distribute updated versions of the Continuity Plan annually and when critical changes occur.

## Authorities and References

Insert authorities and References as appropriate

## Continuity of Operations Responsibilities for Key Personnel

This section should discuss the entity’s key personnel and their responsibilities as it relates to COOP, the COOP Planning Process, and COOP Operations throughout all four phases.

[Position]

-Responsibilities

[Position]

-Responsibilities

[Position]

-Responsibilities

|  |  |  |
| --- | --- | --- |
| **COOP Planning Team** | | |
| COOP Planning Position | Staffed By (position title) | Responsibilities |
| Entity Leadership / Continuity Coordinator | A high-level executive with decision-making authority should staff this COOP Leadership position. | Reviews elements of the plan for feasibility and implementation, provides direction, and oversight of the COOP planning and implementation process. Ensures coordination between the Entity’s COOP Plan and other related COOP Plans. Directs and participates in COOP exercises, establishes a Multi-Year Strategy and Program Management Plan (MYSPMP) designed to achieve COOP objectives, and coordinate with appropriate personnel on matters relating to alternate Facility(ies) and space allocations, continuity communications, and IT requirements. |
| Continuity Manager | Senior Staff Manager with COOP Responsibilities | Coordinates the overall activities of the COOP Planning team, provides organization heads summary of planning activities, manages the day-to-day COOP program, and assists the Continuity Coordinator as requested. |
| Continuity Planner | Entity COOP Planner | Conducts the update of the COOP Plan and, in coordination with the Continuity Manager, assists in ensuring the COOP Plan meets best practices/standards/guidance, attends meetings with appropriate partners, incorporates findings from AAR/IPs from COOP exercises into the updated COOP Plan. |
| Continuity Planning Team | Positions with appropriate expertise to inform the COOP Plan | Represents their appropriate expertise in the COOP Planning Process, assists in the development of the Mission Essential Functions, Essential Supporting Activities, as well as other elements of the COOP Plan as necessary. |

The following teams have been designated and are integral to this plan:

|  |  |
| --- | --- |
| **COOP Teams** | |
| Team | Responsibilities |
| Continuity Notification and Response Team | Responsible for notifying external partners and internal staff of a COOP event and provide instructions as to how to proceed. Responsible for coordinating the initial COOP activities, including activation and direction, overseeing Continuity Operations, as well as mitigation of the initiating hazard, recovery of the primary facility(ies), and reconstitution. |
| Emergency Relocation Group (ERG) | Appointed group of COOP emergency employees assigned to report to an alternate facility and prepare for the performance of mission essential functions, establishing sign-in for non-ERG employees, and other critical tasks related to Continuity of Operations. |
| Non-ERG Employees | All remaining personnel who receive direction as to their responsibilities during the COOP event- such a relocating to the alternate facility, telework, etc. |

|  |  |  |
| --- | --- | --- |
| **Continuity Notification and Response Team** | | |
| Position/Function | Staffed By (position) | Responsibilities |
| Entity Leadership | List Staff Member(s) Responsible | Coordinate COOP activities, coordinate response activities, and manage incident to include oversight of the COOP Response, repair/restoration of the primary facility or transition/construction of a new facility, and provide executive level guidance and decision-making throughout the Continuity Event. |
| External Notification | List Staff Member(s) Responsible | Selected personnel pre-identified to notify external partner representatives of the Entity’s current situation related to the event(s) that occurred, and other pertinent information on entity operations. |
| Internal Notification | List Staff Member(s) Responsible | Selected personnel pre-identified to notify entity staff members of the event(s) and course(s) of action they will need to take in accordance with the COOP Plan. |
| Planning and Information Management | Continuity Manager and Continuity Planner | The Continuity Manager and Planner will assist in the implementation of the COOP Plan, providing guidance and information to Leadership as well as developing specific incident related plans for implementing the response for the specific initiating event and developing recovery plans to return to normal operations. |
| Telework Manager | List Staff Member(s) Responsible | Ensures each eligible employee is authorized to telework during a continuity activation by successfully completing an interactive telework training program prior to entering into and signing a written telework agreement with his/her supervisor |
| Essential records Manager | List Staff Member(s) Responsible | Describe Responsibilities as necessary |
| Add additional Roles as Necessary | Add Additional Personnel as necessary | Describe Responsibilities as necessary |

|  |  |  |
| --- | --- | --- |
| **Emergency Relocation Group (ERG)** | | |
| Position/Function | Staffed By (position) | Responsibilities |
| ERG Team Lead / Alternate Facility Manager | List Staff Member(s) Responsible | Oversees the Emergency Relocation Group and ERG Related Activities  Describe Additional Responsibilities as necessary |
| Facilities | List Staff Member(s) Responsible | Describe Responsibilities as necessary |
| Communications | List Staff Member(s) Responsible | Describe Responsibilities as necessary |
| Information Technology | List Staff Member(s) Responsible | Describe Responsibilities as necessary |
| Supplies / Logistics / Support | List Staff Member(s) Responsible | Describe Responsibilities as necessary |
| Finance | List Staff Member(s) Responsible | Describe Responsibilities as necessary |
| MEF/ESA Specific Positions | List Staff Member(s) Responsible | Describe Responsibilities as necessary |
| Add additional Roles as Necessary | Add Additional Personnel as necessary | Describe Responsibilities as necessary |

When considering staff members to be on the ERG, consider those individuals who have expertise in the areas that would need to be reestablished. Consider limiting the number of management staff in the ERG to ensure coverage across multiple shifts as well as adequate supervision of activities.

|  |  |  |
| --- | --- | --- |
| **Non-ERG Personnel** | | |
| Position/Function | Staffed By (position) | Responsibilities |
| Non-ERG Personnel Lead | List Staff Member(s) Responsible | Keep Non-ERG staff informed of situation as well as the actions that the staff will need to take as a result of the continuity event (such as teleworking, etc.) |
| Non-ERG Personnel | All Remaining Entity Staff | * Be familiar with Entity COOP Plan * Understand Entity MEFs & ESAs * Participate in continuity training, tests, and exercises * Follow instructions on where to report during a continuity event * Carry out assignments during a continuity event * Ensure individual and family preparedness * Be prepared to assist or assume the roles of ERG Personnel |

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# Concept of Operations

This section should briefly explain how the Entity will implement its Continuity of Operations Plan, and specifically, how it plans to address each critical continuity element. The Entity should develop an executive decision process that will allow for a review of the nature and extent of the initiating event to determine the best course of action for response and recovery.

It is the policy of Entity to respond without delay to ensure that the Mission Essential Functions and Essential Supporting Activities continue in the event of an emergency or threat resulting from natural, technological, or human caused hazards. This COOP Plan sets forth the following concept of operations that covers activities across all four phases of continuity operations:

* Phase I – Readiness and Preparedness
* Phase II – Activation
* Phase III – Continuity Operations
* Phase IV – Reconstitution

Phase I – Readiness and Preparedness

The implementation of the Entity’s COOP Plan will be based on the initiating factors of the event, which disrupts the Entity’s MEFs & ESAs and requires activation of the COOP Plan. The events may occur with either advance or no notice. The specific threat/hazard causing the disruption may require additional or specific response actions to be taken.

For all events, the following actions will be undertaken immediately prior to a known, direct, threat/hazard, or immediately in response to a known or unknown event:

* Self-Preservation – actions taken to preserve staff and resources prior to the occurrence of an incident which could include the release or evacuation of employees in anticipation of a hazard. (i.e. response to bomb threat)
* Survival – Actions can include evacuation and rescue of staff/resources, immediate first aid and treatment of injured staff members, actions to salvage resources/equipment.

The continuity plan must be maintained at a high level of preparedness and be ready to be implemented without any notice or warning. As such, Entity has developed the following Concept of Operations, which describes the approach to implementing the COOP Plan. The COOP Plan shall be fully implemented as soon as possible, however no more than 12 hours, and be capable of sustaining operations for up to 30 days or until normal operations can be resumed. The broad objective of the COOP is to provide for the safety and well-being of Entity personnel and stakeholders/customers while enabling the Entity’s continued operations during any event.

Not every emergency or incident that occurs is a COOP event necessitating the implementation of this Plan. Each situation must be evaluated in terms of its impact on Entity’s ability to perform its functions. Therefore, a flexible and scalable response approach is appropriate to address the scope of emergencies that could disrupt operations at the Entity’s Facility Name. Activation of the COOP is not required for all situations; implementation of other Entity plans, procedures, and policies may be more appropriate.

The COOP Plan is not an evacuation plan or an emergency operations/response plan. Appropriate elements of the COOP Plan will be implemented based on known and unanticipated threats and emergencies. An event, such as an explosion, fire, or hazardous materials incident, might require the evacuation of the building with little or no advance notice. Building evacuation, if required, is accomplished via the insert relevant plan/info here.

Unanticipated incidents (such as an earthquake or terrorist incident) may occur at any time. Under this circumstance, operations from the Entity’s Facility Name, and possible alternate Facility(ies) in the area may be impossible; however, it is anticipated that the majority of essential employees will still be able to respond to instructions, including the requirement to relocate following proper notification and assessment of current and available Entity resources and staff.

The extent to which the COOP Plan is implemented varies in accordance with the type of incident/emergency, the warning/notice events (or lack thereof), the location of personnel when notified, and the extent of damage or threat to the location(s) and the occupants. The Entity’s readiness activities are divided into two key areas: Individual Readiness and Preparedness and Entity Readiness and Preparedness.

### Individual Readiness and Preparedness

Individuals should be trained to their duties in a continuity environment and be willing to perform them in a continuity situation.

Entity staff must prepare and be ready for a COOP event at the personal and family level. Staff have been advised what to do in an emergency and sent resources to develop a family support plan to increase their personal and family preparedness. New Hampshire’s disaster preparedness website [www.readynh.gov](http://www.readynh.gov) provides numerous resources for individual and family emergency planning to be prepared for an incident or emergency. Being prepared for an incident or emergency will also ensure preparedness and resiliency in a continuity event. Individuals and families are encouraged to:

* Sign up for Emergency Alerts
* Fill out Emergency Contact Cards for family members
* Create an Emergency Kit
* Create a Family Emergency Plan

Sample Individual Emergency Kit list:

|  |  |
| --- | --- |
| * Identification and Credit Cards   + Driver’s License   + Employee ID   + Insurance Cards   + Credit/Debit Cards   + ~$50 in cash * Communications Equipment   + cellphone   + Portable Radio w/ Chargers and extra batteries. * Hand-carried essential records * Directions to Alternate Facility(ies) * Flashlight   + Extra batteries * Business and Personal Contact #s | * GPS/Maps * Laptop with equipment and charger * 1-3gallons of water, and 24 to 72 hours’ worth of food. * Medical Needs   + Insurance Information/Allergy Information   + Glasses/Contacts   + Medications   + Hand sanitizer * Toothbrush/toothpaste and other personal * Paper and Pencils/Pens * Entity books * Personal books * Garbage bags |

### Organizational Readiness and Preparedness:

Organizational readiness and preparedness incorporates several key components. The level of activation is determined based on the severity of the threat and/or the severity of the impact to The Entity’s operations. Although readiness is a function of planning, training, testing, and evaluating, Entity leadership must ensure that through normal procedures and/or with this COOP Plan, Mission Essential Functions and Essential Supporting Activities can be performed before, during and after an all-hazards incident which causes disruption. Incidents have been categorized into four levels below. Each has an explanation as to the severity of the incident as well as recommended activities associated within the event. The table below describes the levels of incident and activities that may be associated or need to take place during the activation of the COOP Plan.

|  |  |  |  |
| --- | --- | --- | --- |
| Level of Incident | Definition | Incident Example | Response Example |
| Major Emergency | An event which significantly disrupts the organization’s ability to function for an extended period of time requiring relocation for an extended period of time | Explosion, Earthquake, major building damage | Full Activation of the COOP Plan, ERG Teams, Telework Procedures, etc. for an extended period of time. |
| Emergency | An event which significantly disrupts the operation of MEFs & ESAs  *and/or*  An event which requires immediate relocation and reestablishment of services or where the primary facility is unavailable | Influenza Pandemic  *or*  Fire | Partial Activation of the COOP Plan to address the needs |
| Incident | An actual or anticipated event estimated to impact the entity’s operations that requires the entity to take actions to maintain MEFs & ESAs. | Loss of single utility for 1 day or loss of multiple utilities | Partial Activation of the COOP Plan to address the event |
| Event | A situation that is abnormal for day-to-day operations that does not adversely impact the performance of the entity’s mission, or if the situation will be resolved before the entity’s functions are disrupted. | Temporary Computer Network Disruption | No COOP Plan Activation monitor current situation for escalation potential and consider course of action if situation worsens. |

#### Entity Continuity of Operations Teams

The entity has pre-identified continuity of operations teams that are related to the carrying out of this plan.

#### Entity Continuity of Operations Go-Kits and Supplies

Position(s) within Entity have the responsibility to create and maintain go-kits which will be utilized by the Emergency Relocation Group to establish operations at the alternative facility(ies) and/or pre-staging kits for anticipated events. The Entity has identified what these kits contain and who maintains the kits in the table below and how often the kits will be maintained.

|  |  |
| --- | --- |
| **Entity Go-Kits** | |
| **Contents:** | List the contents of the Entity Go-Kits here. Consider the items required for the entity to function and perform the mission functions and supporting activities. Items such as:   * Vital Equipment/Computers/Phones * Essential records and Documentation * Continuity Related Information and Plan * Critical Contact Information |
| **Responsible Party:** | List individual(s) responsible for maintaining go-kits |
| **Maintenance:** | Describe maintenance process and frequency that the kits will be updated. |

If the entity wishes to have multiple go-kits, consider making multiple copies of the table above to describe the contacts, responsible party, and maintenance period.

In addition, Entity conducts the following readiness and preparedness activities and maintains the following resources which could be utilized/deployed in a continuity event:

Describe activities, resources, etc.

## Phase II: Activation

The Activation and Relocation section describes how Entity will recognize an event as requiring implementation of this Continuity of Operations Plan, the notification process, as well as information related to relocating to the alternate facility(ies).

### COOP Event Severity Index:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Loss of 0%** | **Loss of 25%** | **Loss of 50%** | **Loss of 75%** | **Loss of 100%** |  |
| **Staff** |  |  |  |  |  | To be filled in based on the entity's own analysis of the impact of each area of concern |
| **Facilities** |  |  |  |  |  |
| **Communications** |  |  |  |  |  |
| **Utilities** |  |  |  |  |  |
| **Information Technology** |  |  |  |  |  |
|  | | | | | | |
| 1 point | If the incident will have no impact on the organization's ability to perform MEFs, can be resolved without any specific response beyond what is normally available | | | | | |
| 2 points | If the incident will have a minimal impact on operations and may require the organization to take action as part of their normal duties and responsibilities | | | | | |
| 3 points | If the incident will disrupt the operation of MEFs for more than the established recovery times or 24 hours | | | | | |
| 4 points | If the incident disrupts the operation of multiple MEFs for a period of time exceeding the recovery time objectives | | | | | |

|  |  |
| --- | --- |
| **Score 1-5** | **Event** |
| **Score 5 -10** | **Incident** |
| **Score 10 -15** | **Emergency** |
| **Score >15** | **Major Emergency** |

### Decision Process Matrix:

Based upon the type, severity, and impacts of the situation disrupting operations of Entity, this Continuity of Operations Plan may be activated by any of the following methods:

* The [position title] or designated successor may initiate the COOP Plan based upon an actual or potential, planned or unplanned, event.
* Insert additional activation measures here

Entity’s Activation and Relocation processes are event-driven to allow for a flexible and scalable response to ensure preparedness against all-hazards. The processes will also ensure the ability to attain operational capability at alternate facility(ies) within 12 hours and ensure that operations can continue for up to 30 days or recovery from the continuity event. This Continuity of Operations plan is not required for all emergency situations as other plans may be deemed more appropriate (such as emergency response plans or evacuation plans) or for minor incidents.

Points for consideration of COOP Implementation and Response:

|  |  |  |
| --- | --- | --- |
| Decision Matrix for Continuity Plan Implementation | | |
|  | During Business Hours | Non-Business Hours |
| Event With Notice | * Is the threat aimed at the facility or area around the facility? * Is the threat specifically aimed at organization personnel? * Is staff unsafe remaining in the facility/area? * [insert other points as necessary] | * Is the threat aimed at the facility or area around the facility? * Is the threat specifically aimed at organization personnel? * Who should be notified of the threat? * Is it safe for staff to return to work or the area the next day? * [insert other points as necessary] |
|  | During Business Hours | Non-Business Hours |
| Event Without Notice | * How is the primary facility affected? * Is staff impacted? Were they able to evacuate or are they sheltering in place? * What are the instructions and information from first responders? * How soon will the organization and/or facility be operational again? * [insert other points as necessary] | * How is the primary facility affected? * What are the instructions and information from first responders? * How soon will the organization and/or facility be operational again? * [insert other points as necessary] |

As the decision authority, [position(s)] will be kept informed of the active threats, vulnerabilities, hazards, and situation using available means of communications. The following information should also be taken into consideration when making the determination to implement the COOP Plan and to what extent the implementation will be:

* Direction and guidance from higher authorities
* The health and safety of personnel and families
* The ability to execute MEFs & ESAs
* Changes in incident complexities or situation
* Intelligence reports/products
* The expected duration and impacts/damages of the event
* The potential or actual effects [on identified Critical Infrastructure and Key Resources]
* The need to implement other plans, agreements, policies, etc.

### Alert and Notification Procedure

Initial notification of an incident or situation is anticipated to come directly from an Entity staff member. Other potential sources of incident/situation notification might be from emergency responders (police, fire, etc.), the news media, building management, etc. The first staff member to be aware of a situation or emergency that may affect or is affecting Entity’s operations, must notify Entity Leadership. Initial attempts to contact leadership should not exceed one hour. Staff of Entity should follow their internal chain-of-command to ensure notification of Entity Leadership. Once Leadership, or an authorized designee, has been notified, they will begin to provide notification to external partners, activate key staff members to fill assigned roles in the Entity COOP teams, and determine priorities for operations at the alternate facility(ies) as well as determine which staff will being to resume which MEFs and ESAs in priority order with available resources.

#### External Notification

| **Individual/Organization to be Notified:** | **To be Notified By:** |
| --- | --- |
| Insert relevant information | Insert relevant information |
| Insert relevant information | Insert relevant information |
| Insert relevant information | Insert relevant information |
| Insert relevant information | Insert relevant information |
| Insert relevant information | Insert relevant information |
| Insert relevant information | Insert relevant information |

#### Internal Notification and Activation

When Entity Leadership becomes aware of an event or threat thereof, they will determine the staff required to respond to, continue operations during, and recover from the incident. This may include the activation of some or all of the COOP Teams as identified in Phase I depending on the scale and extent of the incident. Leadership will first request personnel associated with the Continuity Notification and Response Team to assist with notifications, as well as, providing response support. Other external partners will be notified as appropriate and internal staff members (ERG and Non-ERG) will be advised of the situation and any implications that may impact them or require them to take action.

See Annex C for specific personnel contact information.



### Alternate Facility Relocation

If the primary operating facility is rendered inoperable, damaged, or otherwise unable to be accessed or used, Entity has identified the following location(s) as alternate facility(ies) to continue Entity’s MEFs & ESAs:

|  |
| --- |
| Insert Alternate Facility(ies) information here.  Include location/address, facility name, capabilities, and other relevant information such as security or special instructions. |

See Annex B for more detailed Alternate Facility Information.

Upon activation of the COOP Plan and when the use of an alternate facility is required, the Emergency Relocation Group will be activated and provided instructions related to moving operations to the alternate facility. This will include deploying go-kits to the alternate facility and reestablishing the MEFs & ESAs. A map and directions to the alternate facility(ies) from the primary facility is located in Annex B.

### Relocation Process

Following activation of the plan and notification of personnel, Entity must move personnel and essential records to the most appropriate alternate facility(ies). Upon Activation and notification, the Entity Emergency Relocation Group (ERG) will deploy to the predetermined alternate facility with go-kits and other equipment as necessary to establish operations and assume the identified MEFs & ESAs.

If multiple alternate facilities are identified, information on the priority and use of each facility should be detailed here, including basic decision-making guidance to select the most appropriate facility based on the event.

Relocation procedures during normal business hours, with or without notice, are as follows:

* List relocation procedures here. Include information related to transportation (POV, entity vehicles, buses, trailers, etc.), include any provisions made with regard to transportation for employees with access and functional needs.`
* List how instructions and information will be provided from authority.
* If employees report to their homes or another facility prior to being sent to the alternate facility list those details here.
* Describe any safety precautions or other special measures/precautions.
* Describe any other relevant business hours procedures.

Relocation procedures during non-business hours, with or without notice, are as follows:

* Describe how ERG Members will deploy from their current locations, obtaining go-kits, the transportation to the alternate facility used, and the timeframe for the relocation.
* Describe any provisions made with regard to transportation for employees with access and functional needs.
* Describe any safety precautions or other special measures/precautions.
* Individuals who are not continuity staff will remain at their place of residence and await further instructions.
* Describe any other relevant business hours procedures.

Personnel not identified as continuity staff may be required to replace or augment the Emergency Relocation Group or other continuity team members during activations. Entity Leadership will coordinate replacement or augmentation of COOP Teams on a case-by-case basis. Personnel who are not identified as continuity staff will be notified about what location to report to or instructions regarding telework.

Telework Policy and Procedures

* Insert information related to Telework Policies and Procedures
* Ensure that discussion related to system and information security is included and related policies, procedures, laws, etc. are mentioned.
* Ensure that telework policies and procedures are coordinated through the entity’s information technology department, chief information officer, or related position(s).
* Ensure provisions for access to essential records at telework locations.
* Ensure telework policy and procedures discuss the course of action in the event that telework is not a viable option.

During a continuity activation, Entity may need to procure personnel, equipment, and supplies that are not already in place or available on an emergency basis. The authority and policy for emergency procurement is as follows:

* Insert emergency procurement authority and policies/procedures.

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## Phase III: Continuity of Operations

### Preparing for Continuity Operations

Upon activation of the Continuity of Operations Plan, Entity will go through the activation, notification, and relocation procedures as established in the previous sections of this plan. Entity must ensure that the COOP Plan can become operational within the minimum acceptable period for MEFs & ESAs disruption; but in all cases must be functional within 12 hours of plan activation. The plan should also provide for the ability to operate for up to 30 days at the alternate facility or until normal operations can be resumed.

The ERG will arrive at the alternate facility and prepare the site for continuity operations. This may include the following actions:

* Ensure infrastructure systems (such as power, water, HVAC, etc.) are functional
* Prepare check-in stations for other staff arrival
* Perform notifications
* Prepare remaining systems (internet, telephone, computers, etc.) for continuity operations
* Unpack and setup go-kits
* Field phone calls from other continuity and non-continuity staff
* Prepare to assume overall responsibility for the identified MEFs & ESAs
* [insert additional tasks as necessary]

Once the alternate facility is ready, responsibility for the MEFs & ESAs shall be assumed and the facility prepared for any non-continuity personnel being deployed. Upon arrival at the alternate facility, continuity and non-continuity personnel are responsible for the following actions:

* Report immediately to the facility entrance for check-in and processing
* Receive all applicable instructions and equipment
* Report to their designated workspace or as otherwise notified during the activation process
* Retrieve pre-positioned information and activate specialized systems or equipment
* Monitor the status of personnel and resources
* Continue MEFs & ESAs
* Prepare and disseminate instructions and reports, as required
* Document all COOP Activities [insert documentation methods]
* Notify family members and emergency contacts for employees as necessary
* [insert additional tasks as necessary]

### Mission Essential Functions

Entity has identified the following Mission Essential Functions:

| **Priority** | **Mission Essential Function** | **RTO** |
| --- | --- | --- |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |

When listing Mission Essential Functions, ensure that not all functions have the same priorities listed. When going through the prioritization process it may be necessary to alter scores to ensure a true prioritized list is included.

### Essential Supporting Activities

Entity has identified the following Essential Supporting Activities:

| **Priority** | **Essential Supporting Activity** | **RTO** |
| --- | --- | --- |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |

When listing Essential Supporting Activities, ensure that not all functions have the same priorities listed. When going through the prioritization process it may be necessary to alter scores to ensure a true prioritized list is included.

### Continuing Mission Essential Functions and Essential Supporting Activities

Consideration for available resources to continue MEFs and ESAs should be made and restored in order of priority and available personnel, equipment, supplies, etc. at the direction of Entity leadership in coordination with the Continuity Notification and Response Team. If the personnel, equipment, supplies, etc. are not available to restore a MEF or ESA, then consideration should be given to the possibility to defer, suspend, or devolve that function/activity. Consideration should also be given to which MEFs & ESAs are required to be conducted at the alternate facility(ies) and which MEFs & ESAs can conducted through telework. If MEFs & ESAs must be performed at a physical location (the alternate facilty(ies)); consideration should be given to protection of employees in events such as a pandemic influenza.

Insert any relevant information relating to how MEFs and ESAs should be continued based on resources, priorities, facility capabilities, etc.

### Personnel Accountability

Entity Leadership will ensure personnel accountability through the continuity event. During business hours, Entity leadership will immediately account for all personnel and maintain accountability as employees transition to the alternate facility, to their residences (i.e. telework), or other location. Outside of business hours, accountability will be achieved when the notification procedure is completed by communicating with each employee. As employees report to their duty stations (alternate facility(ies), telework, etc.) accountability will be maintained through routine communication and regular status checks.

### Orders of Succession

Succession to a position is critical in the event that the person who fills the position is unavailable, incapacitated, or incapable of performing their duties, roles, and responsibilities. Orders of succession provide for an orderly and predefined assumption of responsibilities during an emergency or event. Orders of succession are not just a continuity of operations function. Rather, they should be developed to directly support day-to-day operations. Wherever possible, orders of succession should be three people deep and should include one person whose day-to-day job is physically located at a different site from the primary facility, if possible. Orders of succession should include the following:

* The conditions in which the succession will take place
* The method of notification
* The conditions under which authority will return to the incumbent.

Entity’s Orders of Succession are described in Annex E

### Delegations of Authority

Delegations of authority are formal documents specifying the activities that may be performed by those who are authorized to act on behalf of a key position (such as when assumed by another staff member through an order of succession). Delegations of authority document the legal authority for officials to make key policy decisions during a continuity event. Delegations of authority ensure that the essential functions of the entity can continue as well as ensure for a rapid response to any emergency situation requiring COOP Plan implementation. Like orders of succession, delegations of authority are not exclusive to continuity events and should be considered for day-to-day operations. Delegations of authority should be determined before an emergency or event to ensure continued operations of critical functions *without delay.* All delegations of authority should state specifically:

* The authority that is being delegated, including exceptions
* To whom the authority is being delegated (by title)
* The circumstances under which the delegated authorities would become effective and when they would terminate
* The successor’s ability to re-delegate those authorities.

Entity’s Delegations of Authority are described in Annex F

### Devolution

Devolution is the process of transferring statutory authority and responsibility from an organization’s primary operating staff and facilities to a separate organization’s employees and facilities for an extended period of time. Devolution is required as a strategy in cases when the primary and alternate facility(ies) are damaged and/or not accessible, when the agency staff is unable to locate or sustain operations, and/or as a temporary measure until the emergency relocation group can assume operations from the alternate facility. In the event of a worst-case scenario, where available resources (personnel, equipment, supplies, etc.) are not available, and the Entity is unable to fulfill some or all of the identified MEFs and ESAs, the responsibility for the completion of those functions and activities would need to be devolved from Entity. Just like delegations of authority, the devolution plan should indicate the following:

* The authority that is being delegated, including exceptions
* To whom and what agency the authority is being delegated (by title)
* The circumstances under which the devolved operations would become effective and when they would terminate
* The primary entity’s ability to re-delegate those authorities
* The primary entity’s ability to re-assume their primary essential functions and supporting activities at the end of the continuity event.

Direction and Control would be transferred to Other Entity, which is located at Location. The Other Entity will assume the MEFs & ESAs that the Entity is not able to perform and which cannot be deferred. Operational agreements to facilitate assumption of Entity’s functions under devolution are described in detail in Annex I.

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## Phase IV: Reconstitution Operations

### Assessment and Preparation for Reconstitution Operations

Consideration for reconstituting operations and returning to back to normal operations should begin as soon as the need for continuity operations arises. The Continuity Notification and Response Team will conduct the following actions to prepare for reconstitution operations:

* Monitor the situation until the hazard is mitigated
* Conduct a damage assessment of the primary facility
* Monitor recovery/restoration operations for the primary facility and provide direction as necessary
* Begin planning to reconstitute operations back to the primary facility and transfer staff from the alternate facility(ies) to the primary facility

For the purposes of this plan, the primary facility for reconstitution is either the salvaged/repaired original facility or a new facility that will become the permanent, new primary operations facility. Other considerations for reconstitution include the timeframe of the hazard event and recovery/reconstitution operations, utilizing the Emergency Relocation Group to begin reestablishing MEFs & ESAs at the primary facility, and taking notes for After Action Report / Improvement Plan AAR/IP items.

Within [insert timeframe] of a Continuity Event, the Continuity Notification and Response Team will initiate and coordinate operations to salvage, restore, and recover the primary facility after receiving approval from appropriate entities (such as local emergency services). Entity leadership will serve as the reconstitution manager and oversee the reconstitution process. If the Entity is divided into divisions/sections, each division/section will appoint a reconstitution Point of Contact to coordinate with the Reconstitution Manager to update personnel on developments regarding reconstitution and return to normal operations at the primary facility.

During continuity operations, the Continuity Notification and Response Team must have access and/or status of the primary operating facility being affected by the event. The Continuity Notification and Response Team will then determine how much time is needed to repair or restore the affected facility or acquire a new facility. This determination is made in conjunction with Entity critical partners.

### Reconstitution Process and Procedures

Reconstitution procedures commence when Entity Leadership and the Continuity Notification and Response Team has determined that he emergency situation has ended, and is unlikely to reoccur. Reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the COOP Plan. Once the leadership makes the determination, in coordination with other applicable authorities, one or a combination of the following options may be implemented:

* Inform all personnel that the threat of actual emergency no longer exists, and provide instructions and information regarding the resumption of normal operations
* Notify staff of their work schedule, reporting location(s), and/or leave status
* Supervise an orderly return to the repaired/restored normal operating facility, the new permanent operating facility, or another temporary facility
* Verify all primary systems, communications, and other required capabilities are available and operational at the new or restored facility, and that the Entity is capable of accomplishing all MEFs & ESAs at the new or restored facility
* Conduct an After-Action Report (AAR) of continuity operations and the effectiveness of plans and procedures within [timeframe]. Identify areas for improvement in a Improvement Plan (IP), and develop a remedial action plan within [timeframe]
* Make required notifications to indicate that the entity has resumed normal operations
* Identify which, if any, records were affected by the incident and ensure an effective transition or recovery of essential records and databases back to the primary facility
* It is the responsibility of [position] to ensure employees are notified of return to work procedures or special instructions based on the information available at the time of the incident

Prior to returning to the primary or new operations facility, an appropriate safety, security, and health assessment should be completed to determine suitability for reconstitution and resumption of operations. Upon verification that the required capabilities are available and operational at the primary facility, and that the Entity is fully capable of accomplishing all MEFs & ESAs and operations with personnel, equipment, and documents may return. Any devolved functions shall be returned to Entity by [insert relevant policies/procedures]. The Continuity Notification and Response Team will develop an event specific reconstitution plan based upon the incident, affected functions, available facilities/personnel/resources and will generally follow the following priority-based phase down and return plan:

* Insert priority-based phase down and return plan as well as reconstitution priorities here

Entity will continue to operate at the alternate facility until ordered to cease operations from Entity leadership. At that time all Mission Essential Functions, Essential Supporting Activities, and non-essential activities will return to the new repaired/restored primary operating facility and continuity of operations will cease.

* Insert information relating to the resumption of normal operations here

Entity will identify any records affected by the incident through [describe process and timeframe]. In addition, Entity will effectively transition or recover essential records and databases, as well as utilizing the plan outline below:

* Describe essential and non-essential records plan here

### After Action Reporting and Improvement Planning

Entity will conduct an After Action Review to develop an After Action Report (AAR) once normal operations have been reestablished in the new or repaired/restored primary operations facility. All personnel involved in the continuity event should have the opportunity to participate in the after action process. The AAR will show the effectiveness of the continuity plans and procedures, identify areas for improvement, and document the findings. The Improvement Plan (IP) will include a remedial action plan for areas identified as needing improvement. The AAR/IP process will be completed within [describe timeframe].

[Insert any additional information regarding Reconstitution Operations, After Action Reporting, and Improvement Plans here.]

# Continuity of Operations Intelligence

During a continuity event, the Continuity Notification and Response Team will need to be able to collect, process, analyze, disseminate, and receive feedback on information relating to the event or hazard. While specific events/hazards may require additional or specialized reports, the following table lists examples of the information that Entity must collect and report regardless of the incident type during a continuity event:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **COOP Intelligence Requirements** | | | | | |
| Information Element | Specific Requirement | Responsible position(s) | Deliverable(s) | When | Distribution Requirements |
| Personnel Accountability | Account for all continuity and non-continuity employees | Leadership | Reports/Briefings | [timeframe] | [Describe any requirements] |
| Operational Status | Information relating to continuity operations such as progress towards establishing operations at alternate facility, status of systems, etc. and the need for additional resources. | Continuity Notification and Response Team  Emergency Relocation Group | Situation Reports | [timeframe] | [Describe any requirements] |
| Hazard Information | Threats to primary facility and any to alternate facility(ies) | Continuity Notification and Response Team  Receiving from emergency Responders, et. al. | Reports/Briefings | [timeframe] | [Describe any requirements] |

Modify/Add additional Intelligence Requirements as Necessary

# Budgeting and Acquisition

*This section should discuss the organizations budget and how budgets affect day-to-day operations and how things change during a Continuity event.*

Entity budgets for and requires capabilities that are essential to COOP. A copy of Entity’s budget is located [describe location]. [Describe additional information regarding budget, acquisition, and information regarding the MYSPMP here].

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# Test, Training, and Exercise Program

Entity maintains a Test, Training, and Exercise (TT&E) program: The Entity TT&E program is an essential component of its strategy to develop and maintain its continuity capability, plans, policies, and procedures. It represents an Entity-wide effort to ensure personnel and their organizational elements have been trained and exercised at least annually, and that adequate resources are on hand and appropriately tested to support and validate continuity operations. In the absence of actual COOP Plan activations and deployments, TT&E events are the critical means by which Entity shall assess the viability of this Continuity of Operations Plan and Entity’s comprehensive Continuity of Operations Program as a whole. TT&E is also critical for operational elements of the COOP Plan, such as the ERG, to demonstrate their capability and identify practical shortfalls in plans, policies and procedures. Entity also maintains detailed training records on individual and organizational training to be prepared to execute the delegations of authority and orders of succession in this plan.

An organization’s continuity exercise program focuses primarily on evaluating capabilities or an element of a capability, such as a plan or policy, in a simulated situation. The Homeland Security Exercise and Evaluation Program (HSEEP) is a capabilities and performance-based exercise plan that provides a standardized policy, methodology, and language for designing, developing, conducting, and evaluating all exercises. The HSEEP is a pillar of the National Exercise Program framework. Organizations should refer to the HSEEP for additional exercise and evaluation guidance. The Entity performs TT&E events at regular intervals, in accordance with the requirements specified in the Continuity Guidance Circular (CGC) 1.

## Training

| **Individual or Group to Receive Training** | **Type of Training** | **Individual to Provide Training** | **Training Frequency** |
| --- | --- | --- | --- |
| New Personnel | Continuity Awareness Briefing (or other means of orientation) | Human Resources and/or Continuity Coordinator | Within 60 days of hire |
| Executive Leadership and Key Personnel (Primary) | Continuity Plan Training (must include individual Continuity Plan duties, MEFs & ESAs, and orders of succession) | Continuity Coordinator | Annual awareness or when plan changes occur |
| Key Personnel (Alternates) | Continuity Plan Training (must include individual Continuity Plan duties, MEFs & ESAs, and orders of succession) | Continuity Coordinator | Annual awareness or when plan changes occur |
| MEF Cross-training | Primary Key Personnel | At the Entity’s discretion |
| Pre-delegated Authorities and Successors | Orders of Succession and Delegation of Authority Awareness | Continuity Coordinator | When delegations or successors change |
| Continuity Plan Training (must include individual Continuity Plan duties, MEFs & ESAs, and orders of succession) | Continuity Coordinator | Annual awareness or when significant plan changes occur |
| Applicable Contractors | Continuity Plan Training (must include individual Continuity Plan duties, MEFs & ESAs, and orders of succession) | Continuity Coordinator | Annual awareness or when significant plan changes occur |
| All Agency Personnel | Continuity Plan Training (must include individual Continuity Plan duties, MEFs & ESAs, Alert and notification procedures, Interoperable communications, operations plans, and orders of succession) | Continuity Coordinator | Annual awareness or when significant plan changes occur |

Add more as necessary

## Exercises

The Entity will use a variety of discussion- and operations-based exercises to test continuity capabilities. Exercises help clarify roles and responsibilities, improve coordination, find resource gaps, develop individual performance, and identify opportunities for improvement. Some discussions and operations based tests or exercises may be simple (test of a single capability, a single notification, etc.) or more complex (larger exercise involving multiple partners, relocation, and could coincide with an Emergency Operations Plan exercise or other emergency response exercise). Exercises should be planned in a cycle that increases in complexity as time goes on.

* **Discussion-Based Exercises** provide a forum for discussing or developing plans, agreements, training and procedures, are usually less complicated that operations-based types, typically focus on strategic, policy oriented issues, can include seminars, workshops, tabletops, and games and do not include the actual deployment of resources.
* **Operations-Based Exercises** involve the actual deployment of resources and personnel, are more complex than discussion-based types, require the actual execution of plans, policies, agreements, and procedures, clarify roles and responsibilities, improve individual and team performances, and include drills and both functional and full-scale exercises.

## Continuity TT&E Schedule

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Requirement** | **Monthly** | **Quarterly** | **Annually** | **As Required** |
| Test and validate equipment to ensure internal and external interoperability and viability of communications systems |  |  |  |  |
| Test alert, notification, and activation procedures for all continuity personnel |  |  |  |  |
| Test primary and backup infrastructure systems and services at alternate Facility(ies) |  |  |  |  |
| Test capabilities to perform MEFs |  |  |  |  |
| Test plans for recovering essential records, critical information systems, services, and data |  |  |  |  |
| Test and exercise of required physical security capabilities at alternate Facility(ies) |  |  |  |  |
| Test internal and external interdependencies with respect to performance of MEFs |  |  |  |  |
| Train continuity personnel on roles and responsibilities |  |  |  |  |
| Conduct continuity awareness briefings or orientation for the entire workforce |  |  |  |  |
| Train organization’s leadership on MEFs and ESAs |  |  |  |  |
| Train personnel on all reconstitution plans and procedures |  |  |  |  |
| Allow opportunity for continuity personnel to demonstrate familiarity with continuity plans and procedures and demonstrate organization’s capability to continue MEFs & ESAs including through telework |  |  |  |  |
| Conduct exercises that incorporate the deliberate and preplanned movement of continuity personnel to alternate Facility(ies) |  |  |  |  |
| Conduct assessment of organization’s continuity TT&E programs and continuity plans and programs |  |  |  |  |
| Report findings of all annual assessments as directed to FEMA |  |  |  |  |
| Training for ERG members, activation of COOP Plans, and unannounced relocation drills and telework. |  |  |  |  |
| **Requirement** | **Monthly** | **Quarterly** | **Annually** | **As Required** |
| Conduct successor training for all organization personnel who assume the authority and responsibility of the organization’s leadership if that leadership is unavailable, incapacitated, or incapable of performing their duties, roles, and responsibilities |  |  |  |  |
| Train on the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support MEFs & ESAs during a continuity situation for all staff involved in the essential records program |  |  |  |  |
| Test capabilities for protecting classified and unclassified essential records and for providing access to them from the alternate facility |  |  |  |  |
| Train on an organization’s devolution option for continuity, addressing how the organization will identify and conduct its MEFs & ESAs during an increased threat situation or in the aftermath of a catastrophic emergency |  |  |  |  |
| Conduct personnel briefings on continuity plans that involve using or relocating to alternate Facility(ies), existing facilities, or virtual offices |  |  |  |  |
| Allow opportunity to demonstrate intra- and interagency continuity communications capability |  |  |  |  |
| Allow opportunity to demonstrate that backup data and records required for supporting MEFs & ESAs at alternate Facility(ies) are sufficient, complete, and current |  |  |  |  |
| Allow opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities |  |  |  |  |
| Allow opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures |  |  |  |  |
| Allow opportunity to demonstrate familiarity and the capability to continue MEFs & ESAs from telework sites. |  |  |  |  |

Entities should place checkmarks in the boxes above for when each requirement should be tested, trained, and/or exercised.

## Documentation, After Action Reports, and Improvement Plans

Entity formally documents and reports all conducted continuity TT&E events, including documenting the date, type, and participants in the event. Documentation also includes test results, feedback forms, and other event specific documentation. Continuity TT&E is managed by [position] and is found at [location]. Furthermore, a comprehensive debriefing is conducted after every exercise. This allows participants to identify weaknesses and strengths in plans, an develop an improvement plan to revise plans, policies, procedures, training, etc. A formal AAR/IP is developed after each exercise and implemented in accordance with the schedule determined in the IP. Once the AAR/IP is approved, the Continuity Manager and Continuity Planner will incorporate applicable lessons learned into the plan.

[Insert any additional information regarding TT&E, After Action Reporting, and Improvement Plans here.]

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# Continuity of Operations Plan Maintenance

The continuity manager and planner will review this COOP Plan’s MEFs & ESAs, key personnel, and critical information annually and ensure that no part of the plan go for more than two years without being reviewed and revised in accordance with the recommendations from CPG 101. Furthermore, the COOP Plan should be reviewed, revised, and updated as necessary as a result of the following events:

* A major incident
* A change in operational resources (ex. Policy, personnel, organizational structures, management processes, facilities, and/or equipment).
* A formal update of planning guidance or standards
* A change in elected officials
* Each activation
* Major exercises
* A change in the demographics or threat/hazard profile for the jurisdiction in which the Entity is located
* A change in the acceptability of various risks
* The enactment of new or amended laws, ordinances, policies, etc. at the federal, state, or local level.

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Plan Annexes

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# Annex A: Mission Essential Functions and Essential Supporting Activities

**Instruction sheet**

This section should include a list of the entity’s prioritized Mission Essential Functions (MEFs), Essential Supporting Activities (ESAs) and the Recovery Time Objectives (RTOs) for each. Essential Functions are those which must be continued during or resumed rapidly following a disruption to normal operations. These include missions that Entity is required to perform to provide vital services, exercise civil authority, maintain the safety/welfare of the public, etc. While many functions are important, this process focuses on what functions **cannot** be deferred during a disruption event. The Plan should include MEFs and ESAs regardless of where those functions are performed. *The plan should not include ALL functions that the agency performs*. In order to find the most MEFs & ESAs the following process may be used:

1. Identify Entity Functions
2. Identify those functions which are MEFs or ESAs
   1. Mission Essential Functions – *Functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial/economic base.* Examples:
      1. Response to Emergencies and Events, Disaster Recovery Operations
   2. Essential Supporting Activities – *Functions that an organization must continue during a continuity activation that enable Mission Essential Functions to be completed.* Examples:
      1. Security, Travel Arrangements, Training, Computer Systems must be operational
3. Develop impact analysis and Recovery Time Objective information – Recovery Time Objectives should be the maximum amount of time that a function can be interrupted before it must be restored.
   1. Note: For MEFs whose priorities may change based upon the time of year/season, multiple RTOs can be included for MEF along with a corresponding date range for when the RTO is effective.
4. Prioritize based upon RTO for MEFs and ESAs
5. Submit candidate MEFs/ESAs to executive leadership for approval
6. Receive approval and ensure actions are completed to be able to sustain or rapidly resume these function

|  |  |  |
| --- | --- | --- |
| Impact Score | | Impact Score relates to the impacts of not conducting or delaying the performance of the function. |
| 3 | High – Directly lead to failure of Entity’s mission, be a detriment to emergency response across the state, function is legally mandated, and/or loss of confidence in government. |
| 2 | Medium – Significant damage to Entity’s mission, impedes emergency response, failure has legal or financial repercussion |
| 1 | Low – Affects Entity’s operations but does not have external ramifications |
| 0 | Limited – Not a critical action and/or does not have affects outside of Entity and/or can be deferred or devolved. |
| Recovery Time Objective | | The Recovery Time Objective is the time criticality for resuming performance of the function considering the following:   * When must the function be operational? * What is the maximum downtime? * Must the function be restored in a specific number of days? |
| 3 | Immediate (24 Hours or Less) |
| 2 | Delayed (24+ Hours to One Week) |
| 1 | Extended (Longer than One Week) |
| 0 | Prolonged (One Week to One Month or can be suspended, devolved, or deferred). |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Function** | **Description including who is responsible for function** | **Mission Function or Supporting Activity** | **Impacts if not Conducted** | **Partners/**  **Inter-dependencies** | **Resources Required for Function** | **Impact Score** | **Recovery Score** | **Impact Score**  **X**  **Recovery Score** |
| EXAMPLE  Communications | Communication via telephone, email, in person with local, state, federal and licensee partners by all section members. | Supporting Activity | Information not being communicated to necessary stakeholders could lead to issues both during and after the event. Compromise public safety | Local, state, federal and licensee partners | Computer, internet, S:/ drive, email, telephone | 3 | 3 | **9** |
| EXAMPLE  Ensuring the ongoing preparedness of the entity | The full entity is responsible for the emergency planning, preparedness and training for entity. | Mission Function | Stakeholders will not have the most up-to-date training on procedures, tasks or equipment. Potential issues regarding public safety and reasonable assurance – jeopardize entity funding. | Entire entity Response Organization, licensee, neighboring states, federal agencies. | Computer, internet, S:/ drive, email, telephone. | 3 | 2 | **6** |
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Entity has completed the MEF/ESA process as identified in Continuity Guidance Circular 2 (CGC 2) to identify the functions that Entity must continue following a disruption. Candidate MEF and ESA worksheet:

(Insert as many lines as necessary for functions)

Entity Leadership reviewed the Candidate MEFs and ESAs and approved the following Entity Functions as MEFs and ESAs that cannot be interrupted for the purposes of this plan:

| **Priority** | **Mission Essential Function** | **RTO** |
| --- | --- | --- |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |

When listing Mission Essential Functions, ensure that not all functions have the same priorities listed. When going through the prioritization process it may be necessary to alter scores to ensure a true prioritized list is included.

| **Priority** | **Essential Supporting Activity** | **RTO** |
| --- | --- | --- |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |
| [priority #] | [list function] | [List RTO] |

When listing Essential Supporting Activities, ensure that not all functions have the same priorities listed. When going through the prioritization process it may be necessary to alter scores to ensure a true prioritized list is included.

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# Annex B: Primary and Alternate Facilities

## Primary Facility(ies)

Insert Primary Facility Risk Assessment

Insert Primary Facility Capabilities

Insert location and other pertinent information regarding the Primary Facility(ies)

## Alternate Facility(ies) Selection

An alternate facility/location can include anything from a borrowed conference room for a few key people on a temporary basis, to a complete facility used to house the entire entity. In most cases, it will probably be something in between depending on the circumstances of the event and available resources. It is recommended that each entity should select at least two alternate sites.

It is also recommended that, when determining space requirements for office space that the entity uses an office space calculator (there are many available online) to assist in determining just how much space will be needed. For an EOC, the general rule is to allow for 50 to 80 square feet per staff member. This includes working, walking and meeting areas.

The following criteria should be used to identify suitable alternate facilities/locations:

* Must not share the same natural hazard risk(s) as the primary location;
* Sufficient space and equipment to sustain the relocating Entity;
* Availability of interoperable communications with all identified essential internal and external organizations, critical customers, and the public;
* Reliable logistical support, services, and infrastructure systems, including water, electrical power, heating and air conditioning, etc.;
* Ability to sustain operations for up to 30 days;
* Consideration for the health, safety, and emotional well-being of relocated employees; and
* Appropriate physical security and access controls (e.g., fencing, 24/7 security personnel, cipher locks, key cards secured entrance, etc.).
* The ability to house ERG and other staff if necessary.
* Defined transportation support plan to ensure accessibility and transportation to, from, and around the alternate facility(ies)

## Maps and Directions from Primary Facility(ies) to Alternate Facilit(ies)

Provide maps and directions regarding how to get from the primary facility(ies) to the alternate facility(ies)

## Identified Alternate Facility(ies)

Enter information regarding identified alternate Facility(ies), listing them as a cold, warm, or hot facility, and complete the following capabilities assessment for each alternate facility.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Facility Name:** |  | | **Location:** | Physical address (with GPS address if different) |
| **Facility Type:** | Cold, Warm, or Hot | | **LOA/MOU in place?** | Yes/No & details |
| **Item** | **Amount required (MEF/ESA)** | **Amount available** | **Status** | **Comments** |
| (example) computers | 10 | 10 |  | needs are met |
| (example) food for staff | 100 meals | 0 |  | Arrange just-in-time contract with local restaurant to provide catering services for staff |
| (example) phone lines | 15 | 5 |  | Additional phone lines can be installed within 48 hours; cell phones can be used in the interim |
|  |  |  |  |  |
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| Add additional lines/info as necessary | | | | |

| **Hazard** | **State Risk** | **Facility Risk** | **Facility Risk Factors** |
| --- | --- | --- | --- |
| Flooding | **High** |  |  |
| Coastal Flooding | **High** |  |  |
| Dam Failure | **Moderate** |  |  |
| Drought | **Low** |  |  |
| Wildfire | **Low** |  |  |
| Earthquake | **Moderate** |  |  |
| Landslide | **Low** |  |  |
| Radon | **Moderate** |  |  |
| Tornado/Downburst | **Moderate** |  |  |
| Hurricane | **Moderate** |  |  |
| Lightning | **Low** |  |  |
| Severe Winter Weather | **Moderate** |  |  |
| Snow Avalanche | **Low** |  |  |
| Epidemic | **High** |  |  |
| Radiological | **Moderate** |  |  |
| Fire & HAZMAT | **Low** |  |  |
| Terrorism | **Low** |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Facility Name:** |  | | **Location:** | Physical address (with GPS address if different) |
| **Facility Type:** | Cold, Warm, or Hot | | **LOA/MOU in place?** | Yes/No & details |
| **Item** | **Amount required (MEF/ESA)** | **Amount available** | **Status** | **Comments** |
| (example) computers | 10 | 10 |  | needs are met |
| (example) food for staff | 100 meals | 0 |  | Arrange just-in-time contract with local restaurant to provide catering services for staff |
| (example) phone lines | 15 | 5 |  | Additional phone lines can be installed within 48 hours; cell phones can be used in the interim |
|  |  |  |  |  |
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|  |  |  |  |  |
| Add additional lines/info as necessary | | | | |
|  | | |  | Capability not addressed |
|  | | |  | Capability partially addressed |
|  | | |  | Capability fully addressed |

| **Hazard** | **State Risk** | **Facility Risk** | **Facility Risk Factors** |
| --- | --- | --- | --- |
| Flooding | **High** |  |  |
| Coastal Flooding | **High** |  |  |
| Dam Failure | **Moderate** |  |  |
| Drought | **Low** |  |  |
| Wildfire | **Low** |  |  |
| Earthquake | **Moderate** |  |  |
| Landslide | **Low** |  |  |
| Radon | **Moderate** |  |  |
| Tornado/Downburst | **Moderate** |  |  |
| Hurricane | **Moderate** |  |  |
| Lightning | **Low** |  |  |
| Severe Winter Weather | **Moderate** |  |  |
| Snow Avalanche | **Low** |  |  |
| Epidemic | **High** |  |  |
| Radiological | **Moderate** |  |  |
| Fire & HAZMAT | **Low** |  |  |
| Terrorism | **Low** |  |  |

## Alternate Facility Selection and Risk Assessment

Complete this assessment for all alternate facilities considered

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Alternate Facility** | | | | | **Yes** | | **No** | **N/A** |
| Does the alternate facility/location share the same risk factors as your primary facility/location? | | | | |  | |  |  |
| Did you consider using existing infrastructures, telecommuting centers, virtual environments, or joint or shared space? | | | | |  | |  |  |
| Does the facility/location have the ability to be operational within 12 hours after activation? | | | | |  | |  |  |
| Can the facility/location support sustained operations for 30 days or longer? | | | | |  | |  |  |
| Do you have reliable logistical support, services and infrastructure system, including water, electric power, heating, and air conditioning, etc.? | | | | |  | |  |  |
| Do you have access to essential resources, such as food, water, fuel, and medical facilities? | | | | |  | |  |  |
| Have you identified backup power to the facility/location? | | | | |  | |  |  |
| Do you have access to office and housekeeping supplies? | | | | |  | |  |  |
| Have you thought about your transportation and parking requirements? | | | | |  | |  |  |
| Does the facility/location meet your equipment and furniture requirements? | | | | |  | |  |  |
| If you decide to co-locate with another agency did you establish a letter of agreement (LOA)/memorandum of understanding (MOU) with the owner? | | | | |  | |  |  |
| Do you have the authority to procure your own space? | | | | |  | |  |  |
| Will you require another agency to assist you in the selection and acquisition process? | | | | |  | |  |  |
| Alternate Facility Comments: | | | | | | | | |
|
| **Physical** | | | | | **Yes** | | **No** | **N/A** |
| Is the site in a facility shared with other tenants? | | | | |  | |  |  |
| Are dumpsters clear of the building, electrical, HVAC, utility equipment and junction boxes? | | | | |  | |  |  |
| Is the facility located near any chemical or petroleum storage areas? | | | | |  | |  |  |
| Is the facility located near an interstate or freeway or railway line? | | | | |  | |  |  |
| Is the facility located in a flood plain or near a lake or river? | | | | |  | |  |  |
| Is the facility located in the flight path of an airport/military base? | | | | |  | |  |  |
| Is the facility located near a known earthquake fault? | | | | |  | |  |  |
| Is the facility located in an unsafe or high crime area? | | | | |  | |  |  |
| Is the facility located near State or Federal Government buildings? | | | | |  | |  |  |
| Does the facility have overhead water sprinklers for fire suppression? | | | | |  | |  |  |
| Does the facility have an adequate number of hand held fire extinguishers with current inspection tags? | | | | |  | |  |  |
| Is the gas meter attached to the building? | | | | |  | |  |  |
| Is the facility located near harbors/industrial areas? | | | | |  | |  |  |
| Physical Comments: | | | | | | | | |
|
| **Doors** | | | | | **Yes** | | **No** | **N/A** |
| Does a sturdy, well-constructed door protect each entrance? | | | | |  | |  |  |
| Could a vehicle penetrate any of the entrances to the facility? | | | | |  | |  |  |
| Is each door securely hung with heavy-duty, burglar-resistant hinges? | | | | |  | |  |  |
| Do any of the external access doors open/close automatically? | | | | |  | |  |  |
| If there are automatic doors, are supplemental locking devices used on them? | | | | |  | |  |  |
| Are electronic surveillance devices (cameras) used on the doors? | | | | |  | |  |  |
| Are all doors monitored or connected to a central alarm system? | | | | |  | |  |  |
| Are there guards posted at all main and auxiliary entrances and exits? | | | | |  | |  |  |
| Does the facility have a documented lockup procedure which is followed nightly? | | | | |  | |  |  |
| Are emergency exits clearly marked and free of obstructions? | | | | |  | |  |  |
| Doors Comments: | | | | | | | | |
|
| **Windows** | | | | | **Yes** | | **No** | **N/A** |
| Is the glass in the windows resistant to breakage? | | | | |  | |  |  |
| Are windows which can be opened equipped with physical locks? | | | | |  | |  |  |
| Are any windows equipped with electronic locking devices? | | | | |  | |  |  |
| Are windows equipped with physical locks? | | | | |  | |  |  |
| Are windows which can be opened physically checked nightly to see if they are closed and locked? | | | | |  | |  |  |
| Are measures taken to secure windows that can be easily reached from outside the building? | | | | |  | |  |  |
| Have obstructions been removed from outside the windows so that a clear view is visible? | | | | |  | |  |  |
| Is there a window maintenance process in place to replace broken windows immediately? | | | | |  | |  |  |
| Windows Comments: | | | | | | | | |
|
| **Roofs and Overhangs** | | | | | **Yes** | | **No** | **N/A** |
| Are there exterior ladders or stairways to the roof area? | | | | |  | |  |  |
| If yes, are external ladders and stairways secured? | | | | |  | |  |  |
| If yes, are external ladders and stairways brightly illuminated? | | | | |  | |  |  |
| Are internal ladders and stairways to the roof secured? | | | | |  | |  |  |
| Are internal ladders and stairways to the roof brightly illuminated? | | | | |  | |  |  |
| Are gutters and drains protected at the roofline from intrusion by climbers? | | | | |  | |  |  |
| Can a vehicle be driven close enough to the building to be used to access the roof? | | | | |  | |  |  |
| Is there air conditioning or water coolant equipment on the roof? | | | | |  | |  |  |
| Roofs and Overhangs Comments: | | | | | | | | |
|
| **Loading Docks** | | | | | **Yes** | | **No** | **N/A** |
| Have employees been trained on security and access policies and procedures? | | | | |  | |  |  |
| Are the loading dock doors kept unlocked during the day? | | | | |  | |  |  |
| Are all loading dock doors electronically monitored by cameras? | | | | |  | |  |  |
| Is there a secured door from the dock to the main building? | | | | |  | |  |  |
| Do dock employees have written security and access policies and procedures available? | | | | |  | |  |  |
| Loading Docks Comments: | | | | | | | | |
|
| **Process and Procedures** | | | | | **Yes** | | **No** | **N/A** |
| Is there an Emergency Plan for the employees and customers? | | | | |  | |  |  |
| Are emergency evacuation plans (maps/floor plan) clearly visible (posted on walls)? | | | | |  | |  |  |
| Has there been an actual emergency evacuation of the facility within the last 12 months? | | | | |  | |  |  |
| Has there been an emergency test evacuation of the facility within the last 12 months? | | | | |  | |  |  |
| Has there been a bomb threat within the last 12 months? | | | | |  | |  |  |
| Has the facility been closed because of natural or man-made incidents within the last 12 months? | | | | |  | |  |  |
| Process and Procedures Comments: | | | | | | | | |
|
| **Emergency Generators** | | | | **Yes** | | **No** | | **N/A** |
| Does the facility have an emergency power generator(s)? If no, go to next section. | | | |  | |  | |  |
| How many emergency power generators? | | | |  | | | | |
| If there is more than one generator are they run in: | | | |  | |  | |  |
| Series | | | |  | |  | |  |
| Parallel | | | |  | |  | |  |
| Primary and backup | | | |  | |  | |  |
| KVA Rating: | | | |  | | | | |
| Is the Generator supported by more than one fuel tank? | | | |  | |  | |  |
| Gallons for Fuel | | | |  | | | | |
| Is the Tank: | | | |  | |  | |  |
| Above Ground | | | |  | |  | |  |
| Below Ground | | | |  | |  | |  |
| Will the generator run for 24 hours with the current fuel supply? | | | |  | |  | |  |
| Is the generator tested weekly? | | | |  | |  | |  |
| Is there a scheduled maintenance plan for the generator? | | | |  | |  | |  |
| Are there written procedures for starting/stopping the generator? | | | |  | |  | |  |
| If yes, are the procedures positioned around or near the generator? | | | |  | |  | |  |
| Is there someone assigned responsibility (primary and alternate) for the generator? | | | |  | |  | |  |
| Is the generator under lock and key? | | | |  | |  | |  |
| Is the generator positioned in a secure area? | | | |  | |  | |  |
| Does the facility have a service contract for maintenance and for fuel provisions, in the event of a disaster/emergency? | | | |  | |  | |  |
| What is the generator configured to provide emergency power to? | | | |  | |  | |  |
|  | Security systems |  | Fire suppression |  | |  | |  |
|  | HVAC |  | Water pumps |  | |  | |  |
|  | Mainframe computer office power outlets |  | Desktop Computers |  | |  | |  |
|  | LAN equipment |  | Lighting |  | |  | |  |
|  | Entire building |  | Telephone equipment |  | |  | |  |
|  | Other |  | Other |  | |  | |  |
| Is the transfer switch for the generator automatic or manual? | | | |  | |  | |  |
| Generator Comments: | | | | | | | | |
| **Uninterruptable Power Supply (UPS)** | | | | | **Yes** | | **No** | **N/A** |
| Does the facility use UPS (battery) back-up building power (not the small ones for PCs)? If no, skip to the end of this part. | | | | |  | |  |  |
| Is the UPS located in a room of its own (no other equipment)? | | | | |  | |  |  |
| Is the UPS standalone or rack mounted? | | | | |  | | | |
| Is the UPS tested on a regular basis? | | | | |  | |  |  |
| If yes, how often? | | | | |  | | | |
| Does the UPS have remote status monitoring (alarms)? | | | | |  | |  |  |
| Is the transfer switch for the UPS Automatic or Manual? | | | | |  | |  |  |
| Does the UPS room have: | | | | |  | |  |  |
| Fire suppression | | | | |  | |  |  |
| Fire detection | | | | |  | |  |  |
| Water protection | | | | |  | |  |  |
| HVAC | | | | |  | |  |  |
| What is the load time for the UPS (i.e. how long can it provide power with the existing power load)? | | | | |  | |  |  |
| UPS Comments: | | | | | | | | |
|

# Annex C: Personnel, Teams, and Contact Lists

|  |
| --- |
| Insert Entity Organizational Chart Here |

## Continuity Notification and Response Team Members and Contact Information

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Continuity Notification and Response Team** | | | | | | | |
| Position/  Function | Staffed By (position) | Employee Name | E-Mail Address | Work Telephone | Cell Phone | Home Phone | Specific comments/  responsibilities |
| Entity Leadership |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| External Notification |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Internal Notification |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Planning and Information Management |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Telework Manager |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Essential records Manager |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Add additional Roles as Necessary |  |  |  |  |  |  |  |

Adjust the above spreadsheet as necessary to include positions, individuals, and specific comments/responsibilities as necessary.

## Emergency Relocation Group

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Emergency Relocation Group** | | | | | | | |
| Position/  Function | Staffed By (position) | Employee Name | E-Mail Address | Work Telephone | Cell Phone | Home Phone | Specific comments/  responsibilities |
| ERG Team Lead |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Facilities |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Comms |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Supplies/ Logistics/ Support |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Finance |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| MEF/ESA Specific Positions |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Add additional Roles as Necessary |  |  |  |  |  |  |  |

Adjust the above spreadsheet as necessary to include positions, individuals, and specific comments/responsibilities as necessary. Entity’s may also consider creating a chart that is MEF/ESA specific in addition to or in place of the ERG roster.

## Non-ERG Personnel

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Non-ERG Personnel** | | | | | | | |
| Employee Name | Title | Able to telework? | E-Mail Address | Work Telephone | Cell Phone | Home Phone | Specific comments/  responsibilities |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |  |

## Notification Chart

|  |
| --- |
| Insert Notification Chart here |

## Additional Contacts / Important Phone Numbers

|  |
| --- |
| Insert additional contacts and important phone numbers here. |

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# Annex D: Continuity Communications

This section should address communications systems needed to ensure connectivity during crisis and disaster conditions. The ability of an organization to execute its MEFs & ESAs at its alternate facility depends on the identification, availability, and redundancy of critical communications and IT systems to support connectivity among key State, territorial, tribal, and local leadership personnel, internal organization elements, other organizations, critical customers, and the public during crisis and disaster conditions. Sample text for this section is provided below.

The Entityhas identified available and redundant critical communication systems at the alternate facility as listed below. Further, the Entitymaintains fully capable continuity communications that could support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. These systems provide the ability to communicate within and outside the organization and are found at [insert location]. While in transit to the alternate facility(ies), Entity Leadership will use the following method(s) of communication to remain in contact with external partners and internal personnel:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Communications System** | **Support to MEFs & ESAs** | **Current Provider** | **Specification** | **Alternate Provider** | **Special Notes** |
| **Non-secure Phones** |  |  |  |  |  |
| **Secure Phones** |  |  |  |  |  |
| **Fax Lines** |  |  |  |  |  |
| **Cellular Phones** |  |  |  |  |  |
| **Satellite** |  |  |  |  |  |
| **Pagers** |  |  |  |  |  |
| **E-Mail** |  |  |  |  |  |
| **Internet Access** |  |  |  |  |  |
| **Data Lines** |  |  |  |  |  |
| **Other** |  |  |  |  |  |

All necessary and required communications and Information Technology (IT) capabilities must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation. [Include Agency SOG, SOP, or Plan name and location] addresses internal and external communication systems available at one or more alternate relocation facilities for the organization, and whether these systems are transported or pre-positioned. The IT Department provides support for the communications systems.

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# Annex E: Orders of Succession

Succession to a position is critical in the event that the person who fills the position is unavailable, incapacitated, or incapable of performing their duties, roles, and responsibilities. Orders of succession provide for an orderly and predefined assumption of responsibilities during an in an emergency or event. Orders of succession are not just a continuity of operations function. Rather, they should be developed to directly support day-to-day operations. Wherever possible, orders of succession should be three people deep and should include one person whose day-to-day job is physically located at a different site from the primary facility. Orders of succession should include the following:

* The conditions in which the succession will take place
* The method of notification
* The conditions under which authority will return to the incumbent.

This annex lists the following order of succession for key positions within Entity for other individuals to serve in an acting capacity until the incumbent can reassume the position or is permanently replaced. In the event that Entity leadership becomes incapacitated or otherwise incapable of performing their authorized legal duties, roles, and responsibilities, the successor will be notified by available personnel. Designated successors should receive annual refresher briefing pertaining to their responsibilities in the line of succession. This section should be reviewed and revised upon changes in personnel in addition to the annual review and update. Entity legal counsel should provide guidance to ensure legal sufficiency.

|  |  |  |  |
| --- | --- | --- | --- |
| **Entity Leadership** | | | |
| Position | Designated Successor | Notification Method | Conditions, Procedures, Limitations |
|  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
|  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| **Entity Division/Group** | | | |
|  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
|  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| **Entity Division/Group** | | | |
|  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
|  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |

Modify/add lines as necessary to meet the needs of your entity.

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# Annex F: Delegations of Authority

Delegations of authority are formal documents specifying the activities that may be performed by those who are authorized to act on behalf of a key position (such as when assumed by another staff member through an order of succession). Delegations of authority document the legal authority for officials to make key policy decisions during a continuity event. Delegations of authority ensure that the essential functions of the entity can continue as well as ensure a rapid response to any emergency situation requiring COOP Plan implementation. Like orders of succession, delegations of authority are not exclusive to continuity events and should be considered for day-to-day operations. Delegations of authority should be determined before an emergency or event to ensure continued operations of critical functions *without delay.* All delegations of authority should state specifically:

* The authority that is being delegated, including exceptions
* To whom the authority is being delegated (by title)
* The circumstances under which the delegated authorities would become effective and when they would terminate
* The successor’s ability to re-delegate those authorities.

Officials listed in the orders of succession may exercise all the powers, duties, authorities, rights, and functions authorized to be performed by the incumbent (less any specific limitations listed) to the extent not otherwise limited by law, policy, etc. Entity legal counsel should provide guidance to ensure legal sufficiency.

Only those individuals to whom the authority is delegated in the order of succession for each named position are eligible. Unless formally appointed by Executive Position or listed in the orders of succession, employees who are acting or temporarily assuming the responsibilities are ineligible to serve as a successor and therefore order of succession and delegation of authority would fall to the next designated official in the approved order of succession and delegation of authority.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Authority** | **Type of Authority** | **Incumbent holding Authority** | **Delegated to Position** | **Trigging Conditions** | **Procedures/ Limitations** |
|  |  |  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
|  |  |  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
|  |  |  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
|  |  |  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |
|  |  |  | 1. |  |  |
| 2. |  |  |
| 3. |  |  |

Modify/add lines as necessary to meet the needs of your entity.

**[This page intentionally left blank]**

# Annex G: Essential Records Management

Essential Records are information systems, applications, documents, references, sensitive data, and any other information needed to support the MEFs/ESAs during a continuity event. As soon as possible after activation of the Continuity of Operations Plan, but within 12 hours of activation, ERG personnel at the alternate facility(ies) must have access to the appropriate media for accessing essential records, including:

* A local area network
* Electronic and hard-copy versions of essential records
* Supporting information systems and data
* Internal and external e-mail and e-mail archives
* [insert any other media/requirements here]

The [insert Information Technology entity/group name] provides information technology services that assist Entity in managing operations, records, and resources. The IT Division must review the essential records program to address new security issues, identify problem areas, update information, and incorporate any additional essential records based upon the needs of entity. Data maintained by Entity should be available during a continuity event to ensure that MEFs and ESAs can continue in the appropriate RTOs. Required information will be made available to the COOP Teams and individuals maintaining Entity’s operations in a continuity event by ensuring availability of access to Entity’s servers, files, and emails as well as applicable hard-copy records by including and maintain them in go-kits and/or prepositioning and maintaining essential records at the community facility(ies). [Insert additional relevant information regarding IT policies, procedures, and interdependencies as well as joint responsibilities to ensure essential records are maintained and available during a continuity event.]

## Table of Agency Systems

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Critical Systems** | | | | | |
| **System** | **Priority** | **Maintenance Frequency** | **Current Protection Method(s)** | **Recommendations for additional protection if necessary** | **Vendor** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| **Non-Critical Systems** | | | | | |
| **System** | **Priority** | **Maintenance Frequency** | **Current Protection Method(s)** | **Recommendations for additional protection if necessary** | **Vendor** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| **Physical Security Systems** | | | | | |
| **System** | **Priority** | **Maintenance Frequency** | **Current Protection Method(s)** | **Recommendations for additional protection if necessary** | **Vendor** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

## Table of MEFs/ESAs and Required Systems/Records

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **MEF/ESA** | **Essential**  **Record(s) Needed** | **Equipment/Systems Needed** | **Network/Servers that must be operational to support Equipment/System** | **MEF/ESA RTO** | **System Status Priority** | **MEF/ESA Priority** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

[Insert additional relevant regarding essential records, systems, etc. as well as information as to how essential records packets stored in go-kits are maintained. Document how orders of succession might have special requirements for access to essential records and systems if the incumbent is not available]

## Essential files, Records, and Database information

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Essential File, Record, or Database** | **Support to MEF/ESA** | **Form of Record** | **Pre-Positions at Alternate Facility?** | **Hand Carried to Alternate Facility** | **Multiple Storage Locations** | **Maintenance Frequency?** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

Ensure that all emergency plans, COOP Contact listing, delegations of authority, orders of succession, necessary keys & access codes, alternate facility location(s), and COOP/emergency related documentation are included as essential records and can be accessed at the alternate facility(ies) in a continuity event. Ensure that records regarding the financial and legal status of the entity are protected and available at alternate facility(ies) in a continuity event. Ensure that there is an essential records inventory which describes the number and location of back-up essential records. Consider vendors and experts who may be able to assist with recovery of essential records.

# Annex H: Human Capital and Resources

The Entity’s Management Continuity Program includes comprehensive plans that take into account the challenges that its employees are likely to face during an event that requires continuity plan activation.

Proper management of human resources involves ensuring that Human Resources policies, including staffing, absence, leave, reimbursement, pay, benefits, and hiring will be followed during a continuity event. If the entity has any collective bargaining agreements which cover employees who are involved in the ERG or continuity operations, ensure that all agreement obligations are met throughout the event. Insert any related policies, actions, etc. in this section.

Management personnel are responsible for communicating information and instructions to employees during continuity operations. Managers, in accordance with human resource guidelines, must:

* Understand Entity’s emergency plans, (continuity plans, emergency operations plans, etc.) and management’s roles in executing them
* Implement telework to the greatest extent possible and ensure systems are in place to support successful telework in an emergency lessening the resources required at the alternate facility(ies)
* Conduct regular TT&E to ensure employee readiness
* Ensure ERG and non-ERG members have a clear understanding of roles in an emergency and the implementation of the COOP Plan
* Ensure ERG and non-ERG personnel members develop an individual and family emergency plan, such as using information available on [www.ReadyNH.gov](http://www.ReadyNH.gov)
* Develop, review, and update emergency guides and SOPs/SOGs as necessary
* Notify personnel when they have been designated as ERG members and inform them of their emergency employee responsibilities and obtain written notification and acknowledgement of understanding
* Provide ERG and non-ERG members with instructions during emergency operations that clarify where they are to report for work

Non-ERG members will receive instructions from the Non-ERG Team Leader and/or the individual employees regular supervisor(s) on alternate work locations and telework procedures, as appropriate, upon notification of COOP activation.

During continuity operations, non-ERG personnel must standby for notifications of where to report to work at their normal worksite.

People are critical to the operations of any organization. Choosing the right people for an organization’s staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated by Entity to perform assigned response duties. The pre-identified employees who are part of a COOP team are considered to emergency employees. In respect to these continuity personnel, Entity has:

* Identified and designated those positions and personnel they deem to be critical to organization operations in any given emergency situation as continuity personnel. A roster of these positions is maintained by [insert office/title] and is found at [insert location]
* Identified and documented its continuity personnel. These personnel possess the skill sets necessary to perform MEFs & ESAs. A roster of these personnel is maintained by [insert office/title] and is found at [insert location]
* Officially informed all continuity personnel of their roles or designations by providing documentation in the form of [insert type of documentation here] to ensure that continuity personnel know and accept their roles and responsibilities. Copies of this documentation is maintained by [insert office/title] and found at [insert location]
* Ensured continuity personnel participate in their organization’s continuity TT&E program, as reflected in training records. Training records are maintained by [insert office/title] and found at [insert location]
* Provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event using [insert methods of providing guidance here]. Copies of this guidance is maintained by [insert office/title] and found at [insert location]

It is important that Entity keep all staff, especially individuals not identified as continuity personnel, informed and accounted for during a continuity event. Entity has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

* Entity employees are expected to remain in contact with [insert office/title, such as supervisors] during any closure or relocation situation. [Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation]
* Entity ensures staff is aware of and familiar with human resources guidance in order to continue MEFs & ESAs during an emergency. Entity uses the following methods to increase awareness: [Insert methods here, such as utilizing an intranet website or employee orientation briefing].

Accounting for all personnel during a continuity event is of utmost importance. In order to account for all staff, Entity will [insert accountability process here, such as call trees, an automated system, a 1-800 number, etc.]. Accountability information is reported to [insert office/title] at [insert number] hour increments. [Insert office] has the responsibility of attempting contact with those individuals who are unaccounted for.

An event that requires the activation of the Continuity Plan may personally affect Entity staff. Therefore, the [insert office] has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster survivors, with special human resources concerns following a catastrophic disaster. These provisions and procedures are found at [insert location].

The Entity continuity program, plans, and procedures incorporate existing agency-specific guidance and direction for human resources management, including guidance on pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities. The [insert office] has the responsibility for Entity human resources issues. A copy of these policies and guidance is found [insert location].

The Entity Continuity Coordinator and Continuity Manager will work closely with the [insert appropriate human Resource office/title here] to resolve human resources issues related to a continuity event. [Insert office/title] serves as the Entity human resources liaison to work with the Continuity Coordinator or Continuity Manager when developing or updating the organization’s emergency plans.

Entity has developed organization-specific guidance and direction for continuity personnel on human resources issues. This guidance is integrated with human resources procedures for its facility, geographic region, and the [human resources office information].

This guidance is maintained by [insert office/title] and found at [insert location]. Entity has issued continuity guidance for human resources on the following issues:

* Additional Staffing: [Insert guidance here or location of guidance]
* Work Schedules and Leave: [Insert guidance here or location of guidance]
* Employee Assistance Program: [Insert guidance here or location of guidance]
* Telework: [Insert guidance here or location of guidance]
* Benefits: [Insert guidance here or location of guidance]
* Overtime and Leave Information Limitations: [Insert guidance here or location of guidance]
* [Insert additional topics here]

Further, [insert office/title] communicates human resources guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue MEFs & ESAs during an emergency. The process for communicating this information is as follows: [Insert communication methods and processes here].

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# Annex I: Devolution Plan

Insert information regarding to the processes, procedures, authorities, and information in case the Entity is not able to continue operations and must devolve some or all operations to another entity.