**State Agency All Hazards Continuity of Operations Plan (COOP) Guidance**

**Overview**

The goal of continuity planning is to ensure that the State of Connecticut is able to continue its vital governmental services and operations under all conditions.For this to take place, state agencies must have plans in place to carry out their departmental essential program functions without interruption.

The All-Hazards COOP enhances the State’s readiness by focusing on the Executive Branch agencies/offices that support the overarching State essential functions for emergency response and recovery.

**Planning Past Efforts**

The State has undertaken several continuity of operations planning activities. In 2006, the State began a planning initiative to create a State Influenza Pandemic COOP. State task groups were organized to plan around this eventuality. The planning was conducted by DAS and DOIT. The planning focused on state employees and how essential agency functions would be continued during high absences of state employees due to their own illness or caring for the illness in others or for fear of coming to work and contracting the illness.

After the development of agency Influenza Pandemic COOPs, DAS requested that agencies submit their plans and participate in training and exercises, annually. In addition, some agencies have developed COOP for other types of events, such as loss of facilities, natural disasters, and other catastrophic events. In 2013-2014, the State developed an all-hazards Base COOP Plan, with state agency annexes for those agencies most critical in an emergency response situation.

The State COOP base plan and agency COOP plans were utilized, tested, and expanded during the COVID-19 Pandemic. Virtual environments were highly employed during the COVID-19 Pandemic and became an essential component of continuity of operations planning at the State.

**Plan Requirements**

The following areas should be addressed in an All-Hazards COOP:

* Purpose, scope and/or goals and objectives;
* Authority
* Situation and assumptions;
* Functional roles and responsibilities for internal and external agencies, organizations, departments and positions;
* Logistics support and resource requirements necessary to implement plan;
* Concept of operations; and
* Plan maintenance.

In addition, the COOP plan should cover the following:

* The COOP shall identify and describe how essential functions will be continued and recovered in an emergency or disaster.
* The plan shall identify essential positions and orders of succession and provide for the protection or safeguarding of critical applications, communications resources, vital records/databases, process and functions that must be maintained during response activities and identify and prioritize applications, records, processes and functions to be recovered of lost.
* Plan shall be developed for each organization performing essential program functions.
* The plan shall address alternate operating capability and facilities.

For the purposes for this initiative of developing an All-Hazards COOP, agencies are encouraged to add any current continuity plans (e.g. Influenza Pandemic, Natural Hazard Events, Cyber Disruption) as appendices.

## Template Explanation

The text in this template sample text. Agencies may use the sample text or use their own narrative to meet the intent of the section. Page numbering has been omitted in this template to avoid the need to renumber the pages of the document. Please add page numbers in the Table of Contents section and to the page footers.

While the *Connecticut Continuity Planning Guidance and Plan Template* provides a general guide for reference, agencies can tailor their continuity plan development to meet their own needs and requirements. Agencies should include any additional elements that are helpful in understanding and implementing their continuity plans. The result will be a baseline plan that can be refined and enhanced over time. However, the Plan must address each element of the COOP listed above.

**Assistance**

**FEMA provides assistance for developing an All-Hazards COOP via resources such as:**

Continuity Guidance Circular (Feb. 2018)

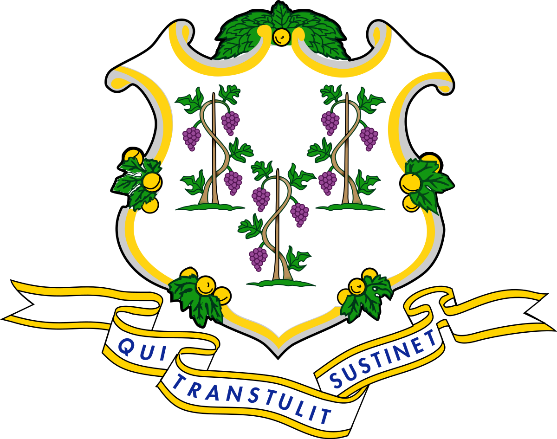
<https://www.fema.gov/sites/default/files/2020-07/Continuity-Guidance-Circular_031218.pdf>

Continuity Planning Checklist (Feb. 2018)

<https://www.fema.gov/sites/default/files/2020-07/fema_Continuity-Planning-Checklist-appendix-4_092818.pdf>

DEMHS Staff will be available to assist agencies in completing their Plans. Please contact Kendall Bobula, DEMHS Community Preparedness, Strategic Planning and Grants Manager at [kendall.bobula@ct.gov](mailto:kendall.bobula@ct.gov) for questions that you may have or to request assistance.

**State of Connecticut**



**AGENCY NAME**

**All Hazards Continuity of Operations Plan (COOP):**

**Annex to the Connecticut Emergency Management COOP Base Plan**

**2023**

**foreword, approvals, and security and privacy statement**

# Forward

A Continuity of Operations Plan (COOP) identifies mission-critical organizational functions which must continue when normal operations are, or may be disrupted, and provides a framework for the continued operation of these mission essential functions under all threats and conditions.

The Agency Name Continuity of Operations Plan was prepared in accordance with relevant COOP guidance, requirements, and best practices, including:

* The Federal Emergency Management Agency (FEMA) Continuity Guidance Circular (CGC), dated February 2018 and published in March 2018, which provides guidance for non-federal agencies conducting continuity planning;
* The FEMA Continuity Assistance Tool (CAT), dated September 2013, which provides guidance for continuity planning;
* Federal Continuity Directives (FCDs) 1 and 2, which establish the framework, requirements, and processes to support the development of federal agency continuity programs and specify and define elements of a continuity plan.
* Other related directives and guidance.

The designated Continuity Point of Contact for Agency Name is (See Attachment 3):

**Name:**

**Title:**

**Address:**

**Email:**

**Phone:**

# Approvals

This All-Hazards Continuity of Operations Plan (COOP) was prepared by Agency Name to develop, implement and maintain a viable COOP capability. This COOP Plan complies with applicable internal agency policies and state regulations and is an annex to the State of Connecticut’s Emergency Management COOP Base Plan. This COOP Plan has been distributed internally within the Agency Name and with external agencies that may be affected by its implementation.

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

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

## **Security and Privacy Statement**

This document is **For Official Use Only**. Portions of the Agency All Hazards COOP contain information that raises personal privacy or other concerns, and those portions may be exempt from mandatory disclosure under the Freedom of Information Act (see 5 United States Code §552, 41 Code of Federal Regulations Part 105- 60). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with internal security protocol and is not to be released without prior approval of the Agency Commissionerto the public or other personnel who do not have a valid “need to know”.

Some of the information in this All-Hazards COOP, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this annex could compromise the security of essential equipment, services, and systems of the Agencyor otherwise impair its ability to carry out essential functions. Distribution of the All-Hazards COOP in whole or part is limited to those personnel who need to know the information in order to successfully implement the plan.

# Record of Changes and record of distributions

# Record of Changes

This form is completed to document the record of changes made to the COOP Plan on an as needed basis, and as the COOP Plan is reviewed at least once per year. Recommended changes should be submitted to the agency Continuity point of contact, so the COOP plan may be updated.

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# Record of Distributions

This All-Hazards COOP has been distributed to:

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**State of Connecticut**

**Insert Agency Name**

**All-Hazards Continuity of Operations Plan**

**(Annex to the Connecticut Emergency Management Continuity of Operations Base Plan)**

**Table of Contents**

I. Mission, Authorities, Purpose, Scope, and Situation

A. Mission

B. Authorities

C. Purpose

D. Scope

E. Situation

II. Planning Assumptions and Objectives

A. Planning Assumptions

B. Objectives

III. Core COOP Components and Concept of Operations

A. Core COOP Components

1. Defining mission essential functions

2. Identifying critical staff to carry out mission essential functions

3. Identifying interdependencies critical to mission essential functions

4. Identifying critical systems required for mission essential functions

5. Designating alternate facilities where mission essential functions can be implemented

6. Identifying orders of success and delegations of authority

7. Identifying essential records that are required to support mission essential functions

8. COOP Drive Away Kits

B. Concept of Operations (CONOPS)

Phase I. Readiness and Preparedness

Phase II. Activation and Relocation

Phase III. Continuity Operations

Phase IV. Reconstitution Operations

III. Plan development, Review, Maintenance, Testing, Training, and Exercising

A. Plan Development and Maintenance

B. Annual Review of COOP Attachments

C. Testing, Training, and Exercising

Attachments:

Attachment 1 Drive Away Kit Contents

Attachment 2 Essential Functions

Attachment 3 Identification of Continuity Working Group (CWG) and Continuity Emergency Relocation Group (ERG)

Attachment 4 Continuity Emergency Relocation Group (ERG) Position Responsibilities

Attachment 5 Essential positions and orders of succession

Attachment 6 Agency Alternate/Continuity Facility(ies)

Attachment 7 Agency Continuity Communications and Systems

# Attachment 8 Essential Records Management

Attachment 9 Multiyear Strategy and Program Management Plan

Attachment 10 Test, Training and Exercises  
Attachment 11 Reconstitution Plan Template (optional)   
Attachment 12 Devolution Plan Template (optional)

Hazard Specific Appendices

# Mission, AUTHORITIES, PURPOSE, SCOPE, and SITUATION

## MISSION

## The mission of Agency Name is enter agency mission statement here.

## AUTHORITIES

Authorities and references, on which the organization’s continuity plan is based, can be found in the State of ConnecticutAll Hazards Emergency Management Continuity of Operations Plan (COOP) Base Plan.

Agency Name list of emergency authorities:

## 

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## PURPOSE

The Agency Name Continuity of Operations Plan (COOP) provides a framework to ensure continued operation of mission essential functions within 12 hours and for up to 30 days when an emergency impacts the Agency’s facilities, systems, personnel, and/or operations. This COOP addresses all hazards, natural and manmade, and includes climate change considerations. The COOP establishes a concept of operations, strategies, and tactics to accomplish the following objectives:

* Ensure that Agency Name can perform mission essential functions under all conditions.
* Successfully execute a timely and orderly recovery and reconstitution of mission essential functions by
  + Identifying key staff needed to continue mission essential functions.
  + Identifying and ensuring access to critical systems needed to support mission essential functions.
* Minimize disruptions to Agency Name mission essential functions and operations.
* Ensure that Agency Name has an alternate facility where it can carry out its mission essential functions in the event its primary facility is unusable or inaccessible.
* Execute a successful order of succession with accompanying designated authorities should an incident render key leadership unable or incapable of assuming and performing their authorities and/or responsibilities.
* Identify and protect essential records and other essential assets in the event of an incident, and ensure they are accessible at alternate facilities.
* Establish a training and exercise cycle to regularly test and validate continuity of operations plans and procedures.

## SCOPE

This All-Hazards COOP applies to the functions, operations, and resources necessary to ensure the continuation of Agency Name’s essential functions in the event its normal operations at list primary operating facility(ies) are disrupted or threatened with disruption. This All-Hazards COOP applies to all Agency Name personnel at Facility Name(s). Staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities. This document is not an evacuation plan.

This document ensures Agency Name is capable of conducting its essential missions and functions under all threats and conditions, with or without warning.

## SITUATION

The State of Connecticut is vulnerable to a host of natural and human-made hazards as identified in the State’s Hazard Identification and Risk Assessment (HIRA). (*See the State of Connecticut Emergency Management COOP Base Plan.)* It is the policy of the State of Connecticut and the Agency Name to respond quickly in the event of an emergency or hazard in order to continue essential functions.

A viable COOP capability identifies essential functions and consists of plans and procedures, alternate facilities, and interoperable communications and data support systems, reinforced by comprehensive training, orientation, and exercise programs. COOP capabilities must be maintained at a high level of readiness, capable of being activated both with and without warning, ready to achieve operational status no later than 12 hours after activation, and able to maintain sustained operations for up to 30 days or until termination.

**Planning ASSUMPTIONS and OBJECTIVES**

## PLANNING ASSUMPTIONS

* An incident or event affecting Agency Name can occur at any time, with little or no warning, and have a severe impact on the agency, its facilities, systems or operations, and staff that may be called upon to continue agency operations.
* Agency Name facilities may be rendered uninhabitable or unusable by an incident, requiring the use of an alternate facility.
* Mission Essential Functions must be continued, regardless of the magnitude of the impact of the incident affecting facilities, systems, or operations.
* The Agency Name has considered its mission, statutory requirements, and emergency support function roles and has identified essential functions.
* In the event of a widespread or catastrophic disaster, staff may need to take steps to ensure their own safety and security, or that of their families, prior to reporting to work.
* Appropriate resources and funding should be available for the planning, implementation, and maintenance of the COOP program. Required resources should be dedicated in a timely fashion following activation of the COOP.
* In compliance with the National Incident Management System (NIMS), and Homeland Security Presidential Directive (HSPD) - 5, and Governor’s Executive Directive # 34, all COOP program activities shall incorporate the principles of NIMS and the Incident Command System (ICS).
* Enter any further agency specific planning assumptions here

## OBJECTIVES

The primary objective of this COOP Plan is to support Agency Name continuation of its identified essential functions for the duration of the COOP event while ensuring the safety and well-being of agency name’s personnel, contractors, and visitors.

The Agency Name continuity **EXAMPLE** objectives are listed below:

* Enable staff to perform essential functions to prepare for and respond to the full spectrum of possible threats or emergencies as identified in the State of Connecticut Hazard Identification and Risk Assessment (HIRA).
* Reducing the loss of life and minimizing property damage and loss.
* Executing a successful order of succession with accompanying authorities in the event a disruption renders that organization’s leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of office.
* Identify key COOP personnel and supporting staff.
* Reducing or mitigating disruptions to operations.
* Ensuring there are facilities from where organizations can perform essential functions/ ensure the continuity location can support COOP operations.
* Protecting personnel, facilities, equipment, records, and other assets critical to the performance of essential functions in the event of a disruption (from loss of facility, reduced workforce and/or catastrophic event)
* Achieving the organization’s timely and orderly recovery and reconstitution from an emergency.
* Ensuring and validating continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise (TT&E) program and operational capability.
* Protect and maintain vital records and critical systems.

**CORE COOP COMPONENTS AND CONCEPT OF OPERATIONS**

# CORE COOP COMPONENTS

1. Defining mission essential functions
2. Identifying critical staff to carry out mission essential functions
3. Identifying interdependencies critical to mission essential functions
4. Identifying critical systems required for mission essential functions
5. Designating alternate facilities where mission essential functions can be implemented
6. Identifying appropriate and lawful orders of succession
7. Defining delegations of authority
8. Identifying essential records that are required to support mission essential functions, or are required to by law to be maintained.
9. Ensuring resources, such as fly-away kits, are maintained and available to support COOP activation.

Each core COOP component is described in detail in the following sections.

## 1. Defining mission essential functions

In support of the State Emergency Management Continuity of Operation (COOP) Base Plan, the Agency Name’sessential program functions are those activities that enable an agency or office to carry out emergency response actions, provide vital services, protect the safety and well-being of the citizens of the State, and maintain the economic base of the State.

Agency Nameessential function lists serve as operational guides to facilitate the relocation of key personnel to a continuity location and for the backup of critical systems and vital records so that the agency can continue operations. The level and manner of support needed to continue essential functions is dependent upon the nature of an event. In addition, performance of these functions often requires support services, such as IT systems. It is also critical to identify the interdependencies of essential functions. Agency Name has identified and prioritized its essential functions. Functions given a higher priority are pivotal to resuming operations when a catastrophic event occur. *See Attachment 2. Essential Functions.*

## 2. Identifying critical staff to carry out mission essential functions

**Essential Positions**

See Attachment 5. Essential Positions and orders of succession

**Continuity Personnel**

In order to continue its essential functions, the Agency Name has determined the staff positions necessary to relocate under COOP activation. The Agency continuity Point of Contactis responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

Each continuity member is selected by the Agency continuity Point of Contactbased upon:

* + The predetermined essential functions that must be performed, regardless of the operational status of the Agency Name’s primary operating facility
  + The member’s knowledge and expertise in performing these essential functions
  + The member’s ability to rapidly deploy to the relocation site in an emergency situation

Additional detailed information on the Agency Name’s key personnel is found in *Attachment 3. Identification of Continuity Working Group (CWG) and Continuity Emergency Relocation Group (ERG).*

**Backup Personnel/Key Personnel**

Each essential function has associated key personnel and positions that are necessary to ensure continuity of operations. Key positions are those positions necessary to carry out essential functions and fulfill the agency’s mission. Because alternate facility space and support capabilities may be limited, personnel may need to be restricted to those who possess the skills and experience needed for the execution of essential functions***.*** *See attachment 5. Essential positions and orders of succession*

Trained personnel should be prepared to perform tasks of other employees in the event that a reduction of staff incident occurs. These employees designated as backup personnel should have adequate documentation and first-hand experience performing the functions within their agency. Leadership personnel should initiate a solid cross-training program as part of the Agency’s daily responsibilities.

**All Staff**

It is important that the Agency Name keeps all staff, especially individuals not identified as continuity personnel, informed and accounted for during a continuity event. The Agency Namehas established procedures for contacting and accounting for employees in the event of an emergency, including operating status. Web EOC board exists for COOP staffing levels for Statewide level situational awareness.

The **Agency Name**’s employees are expected to remain in contact with the **insert office/title, such as supervisors** during any facility 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.**

***Human Resources Considerations for Staffing during COOP***

The Agency Name continuity program, plans, and procedures incorporate existing organization-specific guidance and direction for human resources management, including guidance on pay, leave/time off, work scheduling, benefits, telework, hiring, authorities, and flexibilities. DAShas the responsibility for human resources issues. The Agency Name appropriate IMT staff will work closely with DASto resolve human resources issues related to a continuity event. DASserves as the Human Resources liaison to work with the IMT when developing or updating the organization’s emergency plans. Further, DAScommunicates Human Resources guidance for emergencies (pay, leave/time off, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency.

## 3. Identifying interdependencies critical to mission essential functions

Some agency mission essential functions may be dependent upon external systems, organizations or supports. These systems, organizations and supports are known as interdependences, and those associated with Agency Name’s mission essential functions have been identified as part of the essential functions process and can be found in *Attachment 2. Essential Functions.*

## 4. Identifying critical systems required for mission essential functions

The COOP identifies various tasks, functions, and systems that are important to the continuation of mission essential functions. This includes, but is not limited to, communications and information systems, and may include other specialized equipment and systems. A list of mission critical systems is included in *Attachment 7. Agency Continuity Communications and Systems.*

## 5. Designating alternate facilities where mission essential functions can be implemented

The State recognizes that normal operations may be disrupted and that there may be a need to perform essential functions at an alternate location as mentioned in greater detail in Phase II. Activation and Relocation. For continuity planning, each agency must identify alternate/continuity location(s). *See Attachment 2. Agency Alternate/Continuity Facility(ies)*

## 6. Identifying orders of succession and delegations of authority

Orders of succession ensure ongoing operations in the event a person in a leadership position is unavailable for a period of time. Delegations of authority specify who is authorized to make decisions or act on behalf of key personnel to ensure continuous operation of specific tasks. *See Attachment 5. Essential positions and orders of succession.*

## 7. Identifying essential records that are required to support mission essential functions

The Agency Namehas identified the records vital to its operations and has assigned responsibility for those records to the Agency Name Records Management Liaison Officer of your agency**.** These records are located at insert location. This inventory will be maintained at a back-up/offsite location located at insert location(s) hereby the Agency Name Records Management Liaison Officerto ensure continuity if the primary operating facility is damaged, destroyed, or unavailable. The protection of Essential Records is essential to ensuring the records are available during a continuity event, thus enabling an organization to perform their external essential functions. The Agency Name Records Management Liaison Officer has conducted an Essential Records and database risk assessment to:

* Identify the risks involved if Essential Records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed
* Identify offsite storage locations and requirements
* Determine if alternative storage media are available
* Determine requirements to duplicate records and provide alternate storage locations to provide readily available Essential Records under all conditions

*See Attachment 8. Essential Records Management*

## 8. COOP Drive Away Kits

*See Attachment 1. Drive Away Kit Contents*

# CONCEPT OF OPERATIONS (CONOPS)

The COOP concept of operations is expressed in operational phases:

* **Phase I: Readiness and Preparedness** – places the emphasis is on maintaining the plan; implementing protection methods; training, testing, and exercising; and mitigating risks.
* **Phase II: Activation and Relocation** - serves as the guide for the initial response to a disruptive incident focusing on alert, notification and relocation.
* **Phase III: Continuity Operations** - is the process of restoring essential functions by inducing orders of succession, delegations of authority, or interim processes, due to lack of network connectivity, for instance. Each agency must identify and outline a plan to return to normal operations once leaders determine that reconstitution operations can begin.
* **Phase IV: Reconstitution** - is the process by which agencies will bring all functions back to normal operations from the original or replacement primary facility.

## *Phase I: Readiness and Preparedness*

## Agency Readiness and Preparedness

The COOPpreparedness incorporates hazard/threat warning systems, *See Attachment 7. Agency Continuity Communications and Systems*

## Staff Readiness and Preparedness

Agency Name personnel will prepare for a continuity event and plan in advance for what to do in an emergency. Personnel are encouraged to develop a Family Support Plan to increase personal and family preparedness. Agency Name maintains drive-away kits. Continuity personnel are responsible for carrying the kits to the alternate/continuity facility or pre- positioning the kits at the alternate/continuity facility. *See Attachment 1. Agency Drive-Away Kits*

## Plan Review and Maintenance

The Agency Name, office, titleis responsible for maintaining the Agency Name COOP. The Agency Name COOP, essential functions, and supporting activities, will be reviewed by the Agency continuity Point of Contactand updated annually from the date of publication as part of the maintenance of continuity plans and procedures. Once a year, or as needed, Agency Namereviews its’ All-Hazards COOP, components, and supporting elements, and makes any required updates or changes. Additional detailed information on the Agency Name’s key personnel is found in *Attachment 3. Identification of Continuity Working Group (CWG) and Continuity Emergency Relocation Group (ERG).*

## Training and Exercise of COOP

The testing, training, and exercising of continuity capabilities are essential to demonstrating, assessing, and improving the Agency Name’s ability to execute the continuity program, plans, and procedures. *See Attachment 10. Tests, Training and Exercises.*

***Phase II: Activation and Relocation***

Activation and Relocation occurs after a disruption to business processes triggers the activation of Agency Name’sAll-Hazards COOP. Relocation is triggered by any unsafe conditions at a primary location, or infrastructure issues such as loss of utilities or network connectivity for an extended duration, which would make the site unusable. Activation without relocation can be triggered by personnel issues, such as pandemic flu, or an IT outage. Depending on the event, activation may include emergency response if required. Other phase activities are those that must precede restoring essential functions, such as assessing the incident’s impact. If relocation is necessary, initiating the agency’s alternate/continuity location activities would also occur during this phase. COOP activation is a scenario-driven process that allows flexible and scalable responses to the full spectrum of hazards/threats that could disrupt operations with or without warning and during work or non-work hours. COOP activation will not be required for all emergencies or disruptions, since other actions may be more appropriate. The decision to activate theCOOP and related actions will be tailored for the situation and based on projected or actual impact and whether or not there is warning.

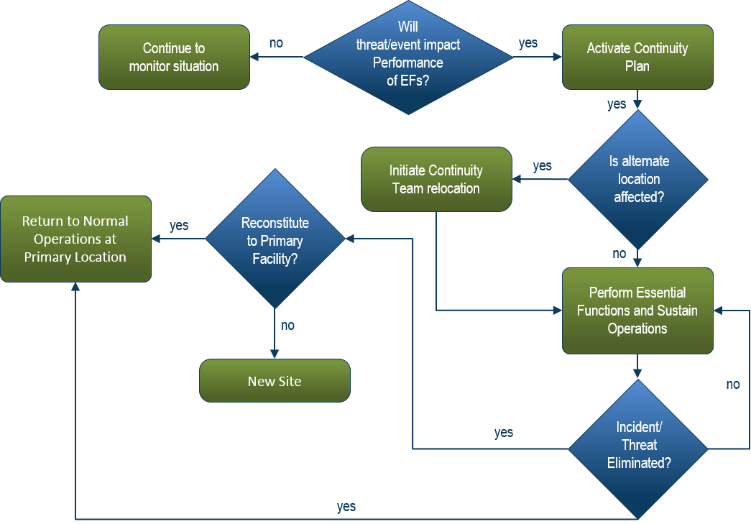
**Decision Process Matrix:**

Based on the type and severity of the emergency situation, the Agency Name COOP may be activated by one of the following methods:

* The State Governor;
* The Organization Head, or a designated successor, may initiate the Continuity Plan activation for the entire organization, based on an emergency or threat directed at the organization
* Insert additional activation measures here

As the decision authority, the Commissioner or designeewill be kept informed of the threat environment using all available means, including the Agency NameEmergency Communications Center (ECC), State’s Emergency Operations Center (SEOC), regional notification systems, local operations and State and local reporting channels and news media. The Commissioner or designeewill evaluate all available information relating to:

* Direction and guidance from higher authorities
* The health and safety of personnel
* The ability to execute essential functions
* Changes in threat advisories
* Intelligence reports
* The potential or actual effects on communications systems, information systems, office facilities, and other vital equipment
* The expected duration of the emergency situation
* Insert other agency considerations here

Table

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**These are examples of decision matrixes, feel free to make your own decision matrix to tailer it to your agency, you may want to make multiple decision matrixes for various agency divisions or locations.**

**Notification Procedures:**

The Commissioner or designated successor will notify the COOP Relocation Group of the emergency requiring COOP activation. When a decision to activate the COOP is made, agency personnel will be notified according to the table below.

Upon the decision to activate the COOP, the Agency Name will notify all personnel, as well as affected and interdependent entities with information regarding continuity activation status, operational and communications status, and the anticipated duration of relocation. These entities include:

* Alternate/continuity facilities and on-site support teams
* The Agency Name**’**s Operations Center (if applicable)
* All employees with instructions and guidance regarding the continuity activation
* Family members, next of kin, and/or emergency contacts (as necessary)

## Insert other points-of-contact, adjacent organizations, customers, stakeholders, and interdependent agencies here

Notification is the message that the Continuity Plan is being activated.

|  |  |  |
| --- | --- | --- |
| Staff Type | Notification Method | Example Notification Message |
| Continuity Personnel | Method, ie., public address system, telephone, email, Everbridge, Web EOC, etc. | COOP Plan has been activated. When notified by Agency Point of Contact for Notifying Continuity personnel, proceed to the identified Alternate Facility. \*If applicable, provide information on routes or other appropriate safety precautions. \* See Attachment 6 for a list of Alternate Facilities |
| Backup Personnel/ Key Personnel | Method, ie., public address system, telephone, email, Everbridge, Web EOC, etc. | COOP Plan has been activated. If notified by the Agency’s Continuity Personnel, proceed to the identified Alternate Facility. \*If applicable, provide information on routes or other appropriate safety precautions. \* See Attachment 6 for a list of Alternate Facilities |
| All Staff | Method, ie., public address system, telephone, email, Everbridge, Web EOC, etc. | COOP Plan has been activated. All non-COOP staff should report to alternate facility/go home/implement telework. If applicable, provide information on routes or other appropriate safety precautions. |

**Relocation Process (Logistics):**

Once the COOP Plan is activated and personnel are notified, the Agency Namewill relocate continuity personnel and Essential Records to the alternate/continuity facility(ies) if necessary. The Agency Name continuity personnel will deploy/relocate to the alternate/continuity facility(ies) to perform the Agency Name’s essential functions and other continuity-related tasks. A map and directions to the alternate/continuity facility will be included as part of the All-Hazards COOP Plan *See Attachment 6. Agency Alternate/Continuity Facility.*

Emergency procedures for COOP event during work hours, with or without a warning will be implemented as follows:

* + Continuity personnel, if applicable, will depart to the designated alternate/continuity facility from the primary operating facility or current location using [insert method of transportation, such as privately owned vehicles, buses, etc. Include any provisions made regarding the transport of disabled continuity employees].
  + Non-continuity personnel present at an Agency Name facility or teleworking will receive instructions from the insert authority. In most scenarios, non-continuity personnel will be directed to proceed to their homes or other Agency Namefacilities to wait for further guidance.
  + At the time of notification, if available, information will be provided regarding safety precautions and routes to use when leaving the primary operating facility.

Emergency procedures during non-working hours with or without a warning will be implemented as follows:

* Continuity personnel will depart to the assigned alternate/continuity facility from their current location using [insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees].
* Non-continuity personnel will remain at their residence or other designated facility to wait for further instructions.

Non-continuity personnel may be required to replace or augment continuity personnel during activation. These activities will be coordinated by the insert office/titlewith the replacement staff on a case-by-case basis. Non-continuity personnel will remain available to replace or augment continuity personnel, as required.

Upon arrival at the alternate/continuity facility the follow must be confirmed:

* Ensure infrastructure systems, such as power and heating, ventilating, and air conditioning are functional
* Prepare check-in duty stations for continuity personnel arrival
* Address telephone inquiries from continuity personnel and non-continuity personal

## Insert additional tasks here

The Agency will conduct in-processing at alternate/ continuity facility(ies) to ensure accountability. Additionally, the agency will identify all organization leadership available at the alternate/continuity facility.

Upon arrival at the alternate/continuity facility, the Agency Namecontinuity personnel will:

* + Report immediately to insert locationfor check-in and in-processing
  + Receive all applicable instructions and equipment
  + Report to their respective workspace as identified in insert locationor as otherwise notified during the activation process
  + Retrieve pre-positioned information and activate specialized systems or equipment
  + Monitor the status of Agency Name’s personnel and resources
  + Continue Agency Name’s essential functions
  + Prepare and disseminate instructions and reports, as required
  + Comply with any additional continuity reporting requirements with the Agency Name
  + Notify family members, next of kin, and emergency contacts of preferred contact methods and information

## Insert additional tasks here

A requirement of continuity personnel is to account for all Agency Name personnel. The Agency Name will use the following processes to account for all personnel:

## Insert processes here, such as using call down telephone trees, a 1-800 number, an alert and notification system, a website, etc. Include what office/title is responsible and how they will communicate with personnel who are unaccounted for.

**Communications**

The Agency Namehas identified available and redundant critical communications systems that are located at the primary operating facility and alternate/continuity facility. Further, the agency maintains fully capable continuity communications that 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. All necessary and required communications and IT capabilities should be operational within 12 hours of continuity activation. Additional detailed information on the Agency Name’s communications systems and requirements is found in *Attachment 7. Agency Continuity Communications and Systems*

**Situational Awareness and Reporting**

During a continuity event, the Agency Name will require the collection and dissemination of critical information. While specific incidents may create additional or specialized reporting requirements, the agency will at a minimum report information on personnel accountability, operational status, and hazard information to their Essential Positions via their Key Continuity Personnel. This information and any other information deemed necessary to provide the State Unified Command with an accurate and up-to-date report on Agency preparedness, response, and recovery efforts will then be forwarded to the State EOC through situation reports as scheduled or as requested. Utilization of the Web EOC State Agency Continuity of Operations (COOP) Status is also likely.

**Budgeting and Emergency Procurement**

The Agency Namebudgets for and acquires resources and capabilities essential to continuity operations. The Agency Namebudgets for continuity resources and capabilities in accordance with agency policies and other applicable directives and provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed. For those contracts vital to the support of Agency essential functions, the Agency Namehas ensured contractor statements of work include the provision to provide staffing, services, and resources during emergency conditions. A list of vital contracts is found at insert locationand maintained by the insert office/title. During an COOP event, the insert office/titleis responsible for oversight and handling of emergency work by contractors.

## *Phase III: Continuity Operations*

The operations phase covers the implementation and execution of the strategies identified in the continuity plan to ensure that the mission essential functions are accomplished. The operations phase includes, but is not limited to:

* + Performing mission essential functions;
  + Accounting for personnel, including identifying available leadership;
  + Establishing communications with interdependent organizations and other internal and external stakeholders, including the media and the public;
  + Providing guidance to all personnel; and
  + Preparing for the recovery of the organization.

## *Phase IV: Reconstitution*

Reconstitution is the process of resuming normal operations. Emergency specific reconstitution planning should begin as soon as an agency All Hazards COOP is executed. Reconstitution will commence when the Agency Name Commissioneror other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the COOP. Once the appropriate Agency Nameauthority has made this determination in coordination with other State, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

* Continue to operate from the alternate/continuity facility
* Reconstitute the Agency Name primary operating facility and begin an orderly return to the facility
* Begin to establish a reconstituted Agency Namein another facility or at another designated location
* Insert any additional organization options here

Before relocating to the primary operating facility or another facility, theinsert office/title will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the insert office/titlewill verify that all systems, communications, and other required capabilities are available and operational and that the Agency Nameis fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.

* Agency Name will notify all personnel by telephone and email using existing procedures and emergency notification tools that the emergency or threat of emergency has passed.
* If the primary operating facility will be uninhabitable or unusable permanently or for an extended period of time, the Agency Name Agency Head Title and the Reconstitution Coordinator will coordinate with the Division of Capital Asset Management and Maintenance to obtain appropriate office space for reconstitution.

Upon verification that all required capabilities are available and operational and that Agency Name is fully capable of accomplishing all mission essential functions and operations at the new or restored facility, the Agency continuity Point of Contact, in coordination with the Reconstitution Manager, will transition mission essential functions from the Alternate Facility to the new or restored primary operating facility.

**Plan Development, Review, Maintenance, Testing, Training, and Exercising**

## 

# Plan Development and Maintenance

The Agency continuity Point of Contactis responsible for maintaining the Agency Name COOP. The COOP, essential functions, and supporting activities, will be reviewed by the insert office name and updated annually from the date of publication as part of the maintenance of continuity plans and procedures. The Office Name is responsible for the annual plan review and update. In addition, the plan will be updated or modified when there are significant organizational, procedural changes, or other events that impact continuity processes or procedures. Comments or suggestions for improving this plan may be provided to the Office Name. Agency Name has developed a Continuity strategy that provides for the development, maintenance, and annual review of Continuity capabilities***.*** *See Attachment 9. Multiyear Strategy and Program Management Plan.*

# Annual Review of COOP Attachments / Components

Once a year, or as needed, Agency Namereviews its’ All-Hazards COOP, components, and supporting elements, and makes any required updates or changes.

|  |  |  |
| --- | --- | --- |
| All Hazards COOP: Element Reviewed | Review Date | Reviewed by |
| Essential Functions |  |  |
| Incident Management Team |  |  |
| Alternate/Continuity Facility (MOUs/MOAs) |  |  |
| Communications |  |  |
| Essential Records |  |  |
| Conduct Continuity Assessment/ Training/ Drill/ Exercise |  |  |

# Testing, Training and Exercising

TheAgency Namehas established an effective TT&E program to support the organization’s preparedness and validate the continuity capabilities, program, and ability to perform essential functions during any emergency. The testing, training, and exercising of continuity capabilities are essential to demonstrating, assessing, and improving the Agency Name’s ability to execute the continuity program, plans, and procedures.*See Attachment 10. Tests, Training and Exercises.*

The Agency Namewill conduct an After-Action Review (AAR) once back in the primary operating facility or in a new primary operating facility. The Insert office/title is responsible for initiating and completing the AAR and all offices within Agency Name will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement, document these, and then develop a remedial action plan as soon as possible after the reconstitution. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with the insert office to ensure an effective transition or recovery of Essential Records and databases and other records that had not been designated as Essential Records. AAR and CAP documentation are maintained by the insert office/title.

**Your agency continuity working group can use this FEMA assessment tool for evaluating your agency COOP.**

<https://www.fema.gov/sites/default/files/documents/fema_continuity-assessment-tool.xlsx>

**ATTACHMENTS**

**Attachment 1 Drive Away Kit Contents**

**Attachment 2 Essential Functions**

**Attachment 3 Identification of Continuity Working Group (CWG) and Continuity Emergency Relocation Group (ERG)**

**Attachment 4 Continuity Emergency Relocation Group (ERG) Position Responsibilities**

**Attachment 5 Essential positions and orders of succession**

**Attachment 6 Agency Alternate/Continuity Facility(ies)**

**Attachment 7 Agency Continuity Communications and Systems**

# Attachment 8 Essential Records Management

**Attachment 9 Multiyear Strategy and Program Management Plan**

**Attachment 10 Test, Training and Exercises**

**Attachment 11 Reconstitution Plan Template (optional)**

<https://www.fema.gov/sites/default/files/2020-09/fema_reconstitution-plan_template_10-22-19.pdf>

**Attachment 12 Devolution Plan Template (optional)**

<https://www.fema.gov/sites/default/files/2020-07/devolution-plan-template_082319.docx>

**Hazard Specific Appendices**

**Attachment 1**

**Drive Away Kit Contents**

Drive-away kits are pre-packaged, up-to-date kits containing equipment, reference material, personnel items and logistical support items needed to perform an agency’s essential functions. The COOP drive-away kits will comprise only those essential items that cannot be effectively maintained, in automated or paper format, at a continuity location.

Department of Homeland Security. Ready. “Build a Kit.” <https://www.ready.gov/build-a-kit>

Department of Homeland Security. Ready. “Make A Plan.” <https://www.ready.gov/make-a-plan>

The Agency Name will implement the following procedures to maintain currency of the drive-away kits: Insert procedures here, such as having continuity personnel bring kits on annual exercises, distributing materials updated quarterly or establishing an acquisition program to regularly replace agency- supplied emergency items.

**Suggested Contents:**

**Professional Drive-Away Kit**

* Standard operating procedures, emergency plans, operations orders or regulations that are not already pre-positioned at a continuity location;
* Continuity of Operations (COOP) Annex;
* Government identification card;
* Current Internal/External Contact Lists (email/cellular telephone);
* Worked issued cellular telephone and charger;
* Work issued laptop and charger;
* Mobile WiFi;
* Current equipment and software report;
* Directions to continuity facility;
* Current vital records, files, and database report.

**Personal Drive-Away Kit**

* Personal Identification;
* Small first aid kit;
* Flashlight;
* Change of clothing;
* Medical necessities (prescription medication, insurance information, glasses, hearing aids, etc.)
* Credit/bank card and cash;
* Food and water;
* Cellular telephone and charger;
* Personal hygiene items; and
* Animal care needs, including food, water, medicine, blankets, etc.

# Attachment 2

# Essential Functions

**Identifying Essential Functions**

For the purposes of the All-Hazards Continuity of Operation Plan (COOP), essential program functions are those activities that are urgent, important, cannot be delayed, and something no one else does. Essential Functions are critical activities your agency performs that are directly related to accomplishing the mission of the organization. Essential Functions are a limited set of organization functions that should be continued throughout or resumed rapidly after a disruption of normal activities for up to 30 days.

Identifying your Essential Functions enables your agency to choose the right people, resources, and procedures. Identifying who is responsible for the essential function being accomplished is in *Attachment 5 Essential positions and orders of succession.*

**Critical Interdependencies –** Some agency mission essential functions may be dependent upon external systems, organizations or supports. These systems, organizations and supports are known as interdependences, and those associated with your mission essential functions have been identified. Do your essential functions change with seasons, weather, environmental cycles, election cycle, etc.?

**Devolution** – who takes over this function if your organization doesn’t have a location or staff to perform the essential function? For example, FBI, National Guard, and local PDs. Think about triggers for devolution as well as critical Interdependencies of Devolution, for example MOUs, NDAs, and Execute Powers.

**Implications if not conducted –** What are possible implications if your organization were not able to continue these essential functions? What would happen if another disaster hit the community at this time?

**Mission Essential Functions:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No.** | **Recovery Time Objectives** | **Critical Interdependencies** | **Devolution of this Essential Function** | **Implications if not conducted** |
| **Uninterruptible Functions <1 day** | |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Critical Functions ≥ 2 to 3 days** | |  |  |  |
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| **Ongoing Functions ≥ 4 to 7 days** | |  |  |  |
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**Attachment 3**

**Identification of Continuity Working Group (CWG) and Continuity Emergency Relocation Group (ERG)**

In order to continue its essential functions, the Agency Name has determined the staff positions necessary to relocate under COOP activation. Position titles should be used rather than names. Once these positions are identified, the organization should establish and maintain a POC roster of trained continuity personnel attached to the applicable positions. Rosters, at a minimum, should include names and home, work, and cellular telephone numbers, as applicable.

Each continuity member is selected by the insert office/title based upon:

* The predetermined essential functions that must be performed, regardless of the operational status of the Agency Name’s primary operating facility
* The member’s knowledge and expertise in performing these essential functions
* The member’s ability to rapidly deploy to the relocation site in an emergency situation

In addition, agencies should identify replacement personnel and augmenters, as necessary. Organizations should consider maintaining this roster separate from this Agency COOP Plan due to the need for constant revision and for privacy concerns.

**Continuity Working Group (CWG)** – This group of stakeholders with knowledge of each functional area within the agency serves as a forum for developing the continuity capability for an organization. This group collaborates on development of the plan, testing, training, exercise, and capability assessments. Examples of Working Group members could include emergency services, facilities, information technology, essential records, human resources, legal counsel, union representatives, vendors, cell phone providers, contractors, community-based organizations, and the general public.

|  |  |  |  |
| --- | --- | --- | --- |
| **Continuity Working Group (CWG) Member** | **Primary P.O.C. Position Title assuming role** | **Position Title (Successor #1)** | **Position Title (Successor #2)** |
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| --- | --- | --- | --- |
| **Key Continuity Personnel Title / Emergency Relocation Group (ERG)** | **Primary P.O.C. Position Title assuming role** | **Position Title (Successor #1)** | **Position Title (Successor #2)** |
| COOP Leader/ Agency Incident Commander/ Director/ Leader |  |  |  |
| Communications Personnel |  |  |  |
| Records Personnel |  |  |  |
| Continuity Personnel/ Continuity Point of Contact |  |  |  |
| Reconstitution Manager |  |  |  |
| Devolution Manager |  |  |  |

**Attachment 4**

**Continuity Emergency Relocation Group (ERG) Position Responsibilities**

|  |  |
| --- | --- |
| **Key Continuity Personnel Title** | **Responsibilities** |
| COOP Leader/ Agency Incident Commander/ Director/ Leader | * Provide strategic leadership and overarching policy direction for the continuity program * Implement the COOP when necessary, or when directed by a higher authority * Update and promulgate orders of succession and delegations of authority * Ensure adequate funding is available for emergency operations * Ensure all organization components participate in continuity exercises * Update Continuity Plan annually |
| Communications Personnel | * Update telephone rosters monthly * Conduct alert and notification tests |
| Records Personnel | * Review status of Essential Records, files, and databases |
| Continuity Personnel/ Continuity Point of Contact | * Be prepared to deploy and support organization essential functions in the event of COOP implementation * Provide current contact information to manager * Be familiar with continuity planning and know individual roles and responsibilities in the event of COOP activation * Participate in continuity training and exercises as directed * Maintain Key Continuity Personnel roster and contact information |
| Reconstitution Manager | * Transition mission essential functions from the Alternate Facility to the new or restored primary operating facility * Assesses the status of affected facilities (as applicable) and determines how much time is needed to repair the affected facilities and/or the necessity of acquiring new facilities * Assesses the status of personnel post-incident to determine their availability to return to work * Verifies that all systems, communications, and other required capabilities are available and operational at the new or restored primary operating facility and that the organization is fully capable of performing all functions, not just essential ones, at the new or restored primary operating facility; * Implements a priority-based phased approach to reconstitution by continuing mission essential functions at the alternate operating facility while non-essential functions return to the new or restored primary operating facilities as the organization conducts a smooth transition from one location to the other; and * Supervises the return of operations, personnel, records, and equipment to the primary or other operating facilities. |
| Devolution Manager | * The devolution manager is responsible for planning and managing the transfer of essential functions from organization personnel to alternate personnel and an alternate location to ensure the continuation of essential functions. |

**Attachment 5**

**Essential positions and orders of succession**

In the event of activation or partial activation of the COOP, agency essential leadership positions including two successors – have been pre-identified. The agency leadership positions focuses on preparing for possible incidents and, should they occur, resolving the incident, resuming, or sustaining business functions in an orderly manner, and addressing essential functions on a priority basis. *Positions should be three deep if possible, and a single person should not fill more than two roles at any given time, if avoidable.*

|  |  |  |
| --- | --- | --- |
| **Support to Essential Function (list the essential function)** | **Essential Position** | **Title** |
|  | **Position title** |  |
|  | Successor #1 |  |
|  | Successor #2 |  |
|  | **Position title** |  |
|  | Successor #1 |  |
|  | Successor #2 |  |
|  | **Position title** |  |
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|  | **Position title** |  |
|  | Successor #1 |  |
|  | Successor #2 |  |
|  | **Position title** |  |
|  | Successor #1 |  |
|  | Successor #2 |  |

**Attachment 6**

**Agency Alternate/Continuity Facility(ies)**

In the event of an emergency, identifying a continuity/alternate facility capable of supporting essential operations, positions, and personnel is critical. These facilities must be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility and the collective protective characteristics of the facility.

The alternate/continuity facilities were selected following an all-hazards risk assessment of facilities for continuity operations use. This risk assessment addresses the following for each alternate/ continuity facility:

* Identification of all hazards;
* A vulnerability assessment to determine the effects of all hazards;
* A formal analysis by management of acceptable risk;
* Sufficient distance between each facility location or threatened area and other facilities or locations;
* that are potential sources of disruptions or threats;
* Sufficient levels of physical security required to protect against identified threats; and
* Sufficient levels of information security required to protect against identified threats.

Alternate/Continuity facilities should provide:

* Sufficient space and equipment;
* Capability to perform essential functions within 12 hours of activation, and up to 30 days (or other time frame as determined by the organization) during the recovery period;
* Reliable logistical support, services, and infrastructure systems;
* Consideration for health, safety, and emotional well-being of personnel;
* Interoperable communications;

## Computer equipment and software;

## Consideration for health, safety, security, and emotional well-being of personnel;

## Capabilities to access and use Essential Records;

## Interoperable communications for effective interaction;

## Systems and configurations that are used in daily activities; and

## Reliable logistical support, services, and infrastructure systems.

Alternate/Continuity Facility Considerations:

*Repeat this information for each alternate/continuity facility used by your organization.*

* Map of location and directions/ route from primary facility
* MOU physical location: location of MOU
* MOU is reviewed annually: point of contact for MOU review
* This facility is rented/ownedby the Agency Name.
* Important Facility Contact Information: Important contact information for the site, including security, medical, and on-site personnel
* Security and Access requirements: Security and access requirements
* The alternate/continuity facility is able to accommodate insert numberpersonnel.
* Nearby Medical Facilities: Medical support at or near the site
* Other Nearby Amenities: Other amenities available at or near the site, including restaurants, stores, banks, and gas stations
* Emergency/back-up power capability. Details on the power capability are available at insert location from the insert office or personnel name
* Facility floor plans, equipment inventory, and insert other applicable documentsare found at insert location.

## Alternate/continuity facility logistics

The Agency Name’s continuity facilities maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. These site preparation and activation plans are detailed below or insert document name and location. See Phase II: Activation and Relocation for more information.

The Agency Namemaintains a transportation support plan that describes procedures for no-warning and with-warning events.

* During a no-warning event, advance team and continuity personnel are transported to the alternate/continuity facility via enter means of transportation, rally points, back-up transportation methods and any other necessary information.
* During a with-warning event, advance team and continuity personnel are transported to the alternate/continuity facility via enter means of transportation, rally points, back-up transportation methods and any other necessary information.

## Alternate/continuity facility training

The Agency Name regularly familiarizes its continuity personnel with its continuity facilities. The Agency Nameaccomplishes this orientation through insert means of orientation, such as deployment exercises, orientation sessions at the site, and briefings. This familiarization training is reflected in organization training records located at insert location.

**Attachment 7**

**Agency Continuity Communications and Systems**

The Agency Name has identified available and redundant critical communication systems at the alternate/continuity facility. The Agency Namemaintains 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.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Communication System** | **Support to Essential Function (list the essential function)** | **Current Provider** | **Specification** | **Alternate Provider** | **Special Notes** | **Prioritize (high, medium, low)** |
| **Non-secure Phones** |  |  |  |  |  |  |
| **Secure Phones** |  |  |  |  |  |  |
| **Fax Lines** |  |  |  |  |  |  |
| **Cellular Phones** |  |  |  |  |  |  |
| **Satellite** |  |  |  |  |  |  |
| **Pagers** |  |  |  |  |  |  |
| **E-Mail** |  |  |  |  |  |  |
| **Internet Access** |  |  |  |  |  |  |
| **Data Lines** |  |  |  |  |  |  |
| **GETS Cards** |  |  |  |  |  |  |
| **Other** |  |  |  |  |  |  |

This table was completed on: \_\_\_\_\_\_\_\_ (date) by: \_\_\_\_\_\_\_\_\_\_\_\_\_(point of contact for completing this attachment)

# 

# Attachment 8

# Essential Records Management

This section should address the Essential Records management requirements needed to support essential functions during a continuity event. The identification, protection, and availability of Essential Records, databases, and hard copy documents needed to support essential functions under the full spectrum of all-hazard/threat emergencies are critical elements of a successful continuity plan and program.

“Essential Records” refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support essential functions during a continuity event.

**Essential Records**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Essential Record, File, or Database** | **Support to Essential Function (list the essential function)** | **Form of**  **Record (e.g., hardcopy, electronic)** | **Pre-**  **positioned at Continuity Facility** | **Hand Carried to Continuity Facility** | **Multiple Storage Location(s) Y/N** | **Maintenance Frequency** | **Prioritize (high, medium, low)** |
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**Attachment 9**

**Multiyear Strategy and Program Management Plan**

*Recommended* Sample

|  |  |  |
| --- | --- | --- |
| **Activity** | **Tasks** | **Frequency** |
| Plan update and certification | • Review entire plan for accuracy  • Incorporate lessons learned and changes in policy  • Manage distribution of plan updates | Annually |
| Maintain and update the IMT/ Orders of Succession | • Obtain names of current incumbents and successors  • Update delegations of authorities | Annually |
| Update checklists | • Update and revise checklists  • Ensure annual update/validation | Annually |
| Appoint new team members key positions | • Review qualification requirements  • Issue appointment letters  • Schedule new member orientation | As needed |
| Maintain alternate worksite readiness | • Test all systems  • Verify access codes and systems  • Cycle supplies and equipment as needed | Quarterly |
| Review/update supporting MOUs/MOAs | • Review MOUs/MOAs for currency and new needs  • Incorporate revisions, as required  • Obtain signatures of reviewing authorities | Annually |
| Maintain emergency relocation site readiness | * Check all systems * Verify accessibility * Cycle supplies and equipment, as necessary | Monthly |
| Train new key personnel | • Provide orientation  • Schedule participation in training and exercises | Ongoing |
| Orient new policy officials and senior management | • Brief officials on COOP philosophy  • Brief each official on his/her COOP responsibilities | Ongoing |
| Monitor and maintain vital records management program | * Monitor volume of materials * Update/remove files | Ongoing |
| Plan and conduct exercises | • Conduct internal exercises  • Conduct joint exercises with agencies  • Support and participate in interagency exercises | Annually/as needed |

**Attachment** **10**

**Test, Training, and Exercises program**

*Sample*

| **Continuity TT&E Requirements** | **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 back-up infrastructure systems and services at continuity facilities |  |  | **🗸** |  |
| Test capabilities to perform essential functions |  |  | **🗸** |  |
| Test plans for recovering Essential Records, critical information systems, services, and data |  |  | **🗸** |  |
| Test and exercise of required physical security capabilities at continuity facilities |  |  | **🗸** |  |
| Test internal and external interdependencies with respect to performance of essential functions |  |  | **🗸** |  |
| Train continuity personnel on roles and responsibilities |  |  | **🗸** |  |
| Conduct continuity awareness briefings or orientation for the entire workforce |  |  | **🗸** |  |
| Train organization’s leadership on essential functions |  |  | **🗸** |  |
| 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 essential functions |  |  | **🗸** |  |
| Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities |  |  | **🗸** |  |
| Conduct assessment of organization’s continuity TT&E programs and continuity plans and programs |  |  | **🗸** |  |
| Report findings of all annual assessments to the insert office/position title |  |  | **🗸** |  |
| Conduct successor training for all organization personnel who assume the authority and responsibility of the organization’s leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation |  |  | **🗸** |  |
| 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 essential functions 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 continuity facility |  |  | **🗸** |  |
| Train on an organization’s devolution option for continuity, addressing how the organization will identify and conduct its essential functions 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 continuity facilities, existing facilities, or virtual offices |  |  |  | **🗸** |
| Allow opportunity to demonstrate intra- and interagency continuity communications capability |  |  |  | **🗸** |
| Allow opportunity to demonstrate back-up data and records required for supporting essential functions at continuity facilities 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 |  |  |  | **🗸** |

**Attachment** **11**

**Reconstitution Plan Template (Optional)**

<https://www.fema.gov/sites/default/files/2020-09/fema_reconstitution-plan_template_10-22-19.pdf>

**Attachment** **12**

**Devolution Plan Template (optional)**

<https://www.fema.gov/sites/default/files/2020-07/devolution-plan-template_082319.docx>

**Hazard Specific Appendices**

The contents of hazard-specific appendices should focus on the special planning needs generated by a particular hazard. These appendices contain unique response details that apply to a single hazard. An example key hazard-specific appendix is continuity operations during a pandemic influenza. Agencies should determine other specific hazards to address, if needed, based upon the results of an agency risk analysis.

State of Connecticut Violence in the Workplace – Policy and Procedures Manual (2012)

<https://portal.ct.gov/-/media/DAS/Statewide-HR/A---Z-Listing-Task-PDFs/Workplace-Violence-Manual---April-2012.pdf>

State of Connecticut, Influenza Pandemic COOP, Agency name and date