

STATE OF HAWAII DEPARTMENT OF TRANSPORTATION COVID-19 RESPONSE PLAN

Introduction

The key purpose of this COVID-19 Response Plan is to reduce the consequences of the COVID-19 Pandemic to acceptable levels. Although when and how this fluid situation will conclude is not known. This Plan is designed and implemented to establish preparation, response, recovery procedures.

Purpose

This COVID-19 Response Plan for the State Department of Transportation (HDOT) presents a management framework, establishes operational procedures to sustain essential activities if normal operations are not feasible, and guides the restoration of the government's full functions. The plan provides for attaining operational capability within 3 hours and sustaining operations for 30 days or longer in the event of HDOT personnel are ordered to quarantine or telecommute from their homes.

The primary objectives of this plan are to:

- Ensure the continuous performance of the essential functions throughout each phase of the COVID-19 Pandemic
- Protect essential infrastructure, vital records, and other assets
- Reduce or mitigate disruptions to essential functions
- Assess and minimize losses
- Facilitate decision-making during the Pandemic

- Achieve a timely and orderly recovery from the Pandemic and resumption of full service

The COVID-19 Response Plan planning program's characteristics are:

- Capable of being maintained at a high level of readiness
- Capable of implementation with or without warning
- Able to achieve operational status no later than 3 hours after activation
- Able to sustain essential functions for up to 30 days
- Designed to take maximum advantage of existing department/agency/office infrastructures

The emergency conditions, events, and situations (sometimes referred to as “triggers”) under which this COVID-19 Response Plan would be implemented include:

- Risk of limited community transmission
- Sustained (ongoing) community transmission
- Widespread sustained (ongoing) transmission
- Widespread sustained (ongoing) transmission and restrictions on entry to the United States

Corresponding mitigation protocols and activities according to level of community transmission or impact of COVID-19 by setting:

- Preparedness Phase
- Minimal to Moderate
- Substantial

Preparedness Phase / Risk of Limited Community Transmission

Preparedness is the ability of each department/agency/office to respond to a continuity incident or event.

Potential scenarios that may require COVID-19 Response Plan activation include, but are not limited to:

- HDOT receives notification of credible threat to Hawaii, which leads the department/agency/office to enhance its readiness posture and prepare to take actions if necessary.
- Department/agency/office experiences an emergency or a disruption that does not require movement of all continuity personnel to a continuity site. Some disruptions may require that key personnel remain onsite to conduct essential functions; other disruptions may prevent some or all personnel from getting to the department's primary location; and yet others may require implementing a social distancing strategy (such as pandemic influenza), which would require the use of primary, continuity, and other relocations, such as telecommuting or working from home.
- Department/agency/office continuity staff or facilities are unavailable, necessitating a shift of essential functions to a regional, field, or other location (devolution).
- A department's/agency's/office's facility is temporarily unavailable, and the department/agency/office either accommodates that facility's essential functions and personnel at another of its own facilities or transfers those essential

Things to Do During Preparedness Phase:

1. Ensure clear lines of communication.
 - Brief early and brief often
 - Keep communication lines open and pass along information.
 - Meet with DOH, HiEMA, other agencies to assess risks and outline inter-agency response planning.
 - Review NIMS and ICS protocols in preparation of HDOT participating in the Emergency Operations Center (EOC)
 - Ensure key personnel are trained to use WebEOC and understand ESF1 responsibilities
 - Risk assessments should be given to personnel to reassure them with accurate and timely information.
 - Disseminate critical information to HDOT employees via email

- As it is critical that information related to COVID-19 to all employees, packets are sent to each and every HDOT employee, with or without email, throughout Hawaii providing them critical information.
2. Identify adequate sanitizing equipment and supplies and appropriate personal protective equipment (PPE).
 - Assess appropriate PPE
 - Order personal wear appropriate PPE, sanitizing equipment, supplies
 - Order hand sanitizer dispensers and sufficient amount of refills
 3. Protect the workforce.
 - Support each other and encourage employees to get vaccinated once vaccines are identified and distributed.
 - Regularly remind HDOT personnel of the importance of taking necessary precautions to prevent illness (washing hands for 20 seconds, etc)
 - Cease all travel -- international, domestic (including inter-island travel) unless essential (with approval of Director and Comptroller)
 4. Review and update HDOT's COOP (Continuity of Operations Plan).
 - Determine and prioritize the needs should personnel staffing be impacted by sick personnel or sick family.¹

¹ The department/agency/office has identified the essential functions that enable it to provide vital services, exercise civil authority, maintain the safety and well-being of the general population, and sustain the industrial and economic base in an emergency. Essential functions provide the basis for COOP planning.

The essential functions are prioritized according to those activities that are pivotal to resuming operations when a catastrophic event occurs. Prioritization is determined by the following:

- Time criticality of each essential function
- Sequence for recovery of essential functions and their critical processes

Note: An essential function's time criticality is related to the amount of time that function can be suspended before it adversely affects the department's/agency's/office's core mission. Time criticality can be measured by either recovery time or recovery point objectives. The Recovery Point Objective (RPO) is more specific to information systems. It is the amount of data that can be lost measured by a time index. Not all processes have RPOs, and some processes can have both a RPO and an RTO.

Essential functions and their supporting processes and services are intricately connected. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services that are necessary to assure continuance of an essential function are considered critical. Often, the processes and services deemed critical vary depending upon the emergency or if they have a time or calendar component.

Table 3 is a prioritized order of the essential functions within the department/agency/office. For each essential function listed, their critical dependencies (supportive processes or services) and their RTO are provided.

- Review State of Hawaii Telecommuting Program Guidelines

5. Train personnel.

- Ensure personnel know what to look for and to keep safe distances
- Ensure personnel knows how to recognize symptoms and where to seek assistance for themselves or others.

6. Be part of a unified team for external communications.

- Use social media, HDOT website, and press releases to disseminate information on HDOT's efforts to promote safety among employees and the traveling public.

Relocation & Activation / Sustained (Ongoing) Community Transmission

To increase social distancing, HDOT may require specific employees to work at a new work site or work from home. Upon HDOT receiving notice, the essential functions will resume without much disruption, and continuous operational capability under all conditions should be ensured.

This phase includes the following activities:

- Evidence of COVID-19 community spread, i.e., case of no travel or link to virus source
- Review, analysis, and decision to activate the continuity plan
- Alert and notification of continuity personnel
- Relocation, if necessary, to continuity facilities
- An accountability analysis of COOP personnel
- Identification of available leadership
- Determination and reporting of operational capabilities
- Use of more extensive PPEs, if necessary

The decision process and procedures for physically activating the COOP Plan encompass the following Incident Command System (ICS) functions, which are consistent with the State's EOP:

- Incident Command — Determine objectives and establish priorities based on the nature of the incident
- Planning Section — Develop the Incident Action Plan (IAP) to accomplish these objectives; collect and evaluate information and maintain status of assigned resources
- Operations Section — Develop the tactical organization and direct all resources to carry out the incident action plan
- Logistics Section — Provide resources and all other services needed for support, including transportation, food and lodging requirements
- Finance/Administrative Section — Monitor costs related to the incident, providing cost analysis and overall fiscal guidance to include procurement and time recording
- Legal Officer — Provide guidance on the legal and liability implications with COOP and Continuity of Government Plan activation

Widespread Sustained (Ongoing) Transmission

Duties:

- Account for all department/agency/office personnel
- Conduct essential functions (which depend on the situation)
- Conduct recovery activities as needed

Plans or procedures include:

- Transition of responsibilities to the remaining continuity personnel
- Guidance for non-essential personnel
- Identification of replacement personnel and augmentees, as necessary
- Execution of all essential functions at the continuity facility
- Activation of processes and procedures to acquire the resources necessary to continue essential functions
- Notification of the adjacent departments/agencies/offices, and, when and if directed to do so by the Governor via this department/agency/office

- Ensure essential functions, personnel, records, and equipment to the primary or other operating facility when appropriate are conducted, secured

Widespread Sustained (Ongoing) Transmission and Restrictions on Entry to the US

Duties:

- Account for all department/agency/office personnel
- Actively recruit for personnel whom we have lost to sickness, extensive leave, change in job, etc.
- Conduct essential functions (which depend on the situation)
- Conduct recovery activities as needed
- Communicate extensively with remaining working employees
- Enlist those laid off from the private sector to quickly fill vacant jobs through 89-day hire process

Plans or procedures include:

- Transition of responsibilities to the remaining continuity personnel
- Guidance for non-essential personnel
- Identification of replacement personnel and augmentees, as necessary
- Continue work listed in previous phases

Work that HDOT Has Done Thus Far

- **ADDITIONAL HAND SANITIZER DISPENSERS INSTALLED AT AIRPORTS STATEWIDE TO HELP FIGHT COVID-19**



<https://hidot.hawaii.gov/blog/2020/03/12/additional-hand-sanitizer-dispensers-installed-at-airports-statewide-to-help-fight-covid-19/>

- **HONOLULU'S AIRPORT STEPS-UP CLEANING EFFORTS**

<https://www.khon2.com/news/honolulu-airport-steps-up-cleaning-efforts/?fbclid=IwAR3vTpSQsKiLE0X4nfJ-tZQ6EP5R3Xe3NNmW6kR2GU9TI49ctGD7BnhJXkU>

<https://www.kitv.com/story/41873639/airport-doubling-its-sanitizing-efforts-amid-coronavirus-fears>

<https://www.hawaiinewsnow.com/2020/03/04/amid-coronavirus-concerns-hawaii-steps-up-efforts-sanitize-airports/>

- **EMPLOYEE & TENANT COVID-19 INFORMATIONAL MEETINGS HELD ON MAUI, BIG ISLAND, KAUAI, AND OAHU**

Purpose: To brief on best practices for disease prevention. Equally important, we directed airport groups to the best source of information (HIEMA/DOH) that people should be listening to for accurate and current information.

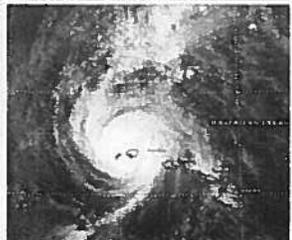
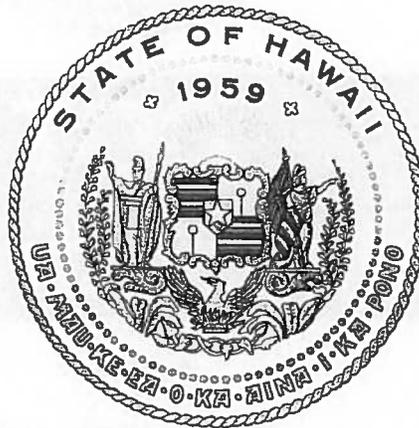
- **RESTARTED FLU VACCINATION PROGRAM**
- **DISTRIBUTING PACKETS TO EACH OF OUR 2300+ EMPLOYEES CONTAINING IMPORTANT INFORMATION ABOUT COVID-19, CENSUS 2020, TEXT / EMAIL OPTION TO RECEIVE ALERTS OF IMPORTANT HDOT-RELATED INFORMATION**
- **CREATED HDOT PAGE RE: COVID-19 WITH IMPORTANT INFORMATION AND RESOURCES FOR HDOT EMPLOYEES AND PUBLIC AT L.A.R.G.E**
<https://hidot.hawaii.gov/coronavirus/>
- **EACH MONTH'S HDOT NEWSLETTER CONTAINS IMPORTANT INFORMATION AND RESOURCES RE: COVID-19 FOR HDOT EMPLOYEES**
EXAMPLE:
https://issuu.com/arakiregan/docs/dot_newsletter_march_2020_final
- **HDOT CREATED A WORKPLACE WELLNESS PROGRAM & HELD A WORKPLACE WELLNESS FAIR OFFERING FLU VACCINATIONS, HEALTH SCREENING, AND VARIOUS WELLNESS PROGRAM OPPORTUNITIES**



- **ACTIVELY INVOLVED IN COVID-19 JOINT INFORMATION CENTER**
- **CDC FLYERS HAVE BEEN DISTRIBUTED AND POSTED THROUGHOUT OUR OFFICES**
- **100% OF STATE AIRPORTS FIREFIGHTERS HAVE BEEN TRAINED RE: COVID-19**

CONTINUITY OF OPERATIONS PLAN (COOP)

DEPARTMENT OF TRANSPORTATION DOT ADMINISTRATION



JANUARY 2012

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All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. and state statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4 and 6 and the Hawaii Uniform Information Practices Act. This document is to be used to implement the State of Hawaii, hereafter referred to as "State", Continuity of Operations (COOP) Plan and contact government personnel in response to an emergency affecting the State. Unauthorized use of this information may constitute an invasion of privacy.

FOREWORD

The DOT Administration has essential operations and functions that must be performed, or rapidly and efficiently resumed, in a disaster or national emergency. Emergency events can quickly interrupt, paralyze, and/or destroy the ability of the DOT Administration to perform these essential operations. While the impact of these emergencies cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities, our services, and our mission.

The State, along with its officials and departments/agencies/offices, has prepared a comprehensive and effective COOP Plan to ensure that essential operations can be performed during an emergency situation that may disrupt normal operations. This plan was developed to establish policy and guidance to ensure the execution of mission essential functions and to direct the relocation of personnel and resources to a continuity facility capable of supporting operations. The plan outlines procedures for alerting, notifying, activating, and deploying personnel; identifying the mission essential functions; establishing a continuity facility; and identifying personnel with authority and knowledge of these functions.

DISTRIBUTION LIST

Distribution of the full version of this COOP Plan, which may contain sensitive information, will be restricted to essential personnel governed by a need-to-know basis.

All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4, and 6.

DISTRIBUTION LIST	
Plan Holder	
1	Civil Defense
2	Department of Transportation
3	
4	
5	
6	

General (G) Distribution

General distribution of selected unclassified sections of the COOP Plan may be issued to all employees to ensure a high level of readiness. Distribution methods may be a combination of the local department's/agency's/office's instructional letters, employee bulletins, or other internal memoranda.

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1.0 INTRODUCTION

1.1 *Introduction*

The key purpose of COOP planning is to reduce the consequences of a disaster to acceptable levels. Although when and how a disaster will occur is not known, the fact that future disasters will happen is certain. A COOP Plan is designed and implemented to establish response, recovery, resumption, and restoration procedures.

1.2 *Purpose*

This COOP Plan for the State presents a management framework, establishes operational procedures to sustain essential activities if normal operations are not feasible, and guides the restoration of the government's full functions. The plan provides for attaining operational capability within 12 hours and sustaining operations for 30 days or longer in the event of a catastrophic event or an emergency affecting the State.

The primary objectives of this plan are to:

- Ensure the continuous performance of the essential functions during an emergency
- Protect essential facilities, equipment, vital records, and other assets
- Reduce or mitigate disruptions to essential functions
- Assess and minimize damage and losses
- Facilitate decision-making during an emergency
- Achieve a timely and orderly recovery from an emergency and resumption of full service to customers

The COOP planning program's characteristics are:

- Capable of being maintained at a high level of readiness
- Capable of implementation with or without warning
- Able to achieve operational status no later than 12 hours after activation
- Able to sustain essential functions for up to 30 days
- Designed to take maximum advantage of existing department/agency/office infrastructures

1.3 *Applicability and Scope*

The departments/agencies/offices to which this COOP Plan applies are:

- Civil Defense
- Department of Transportation

The emergency conditions, events, and situations (sometimes referred to as "triggers") under which this COOP Plan would be implemented include:

- State facilities are down but the rest of the facilities are functioning normally
- State facilities are down, and other critical services are down (e.g., electricity, water, etc.)
- All facilities are down due to natural causes and/or
- All facilities are compromised due to man-made events (e.g., a terrorist attack)

1.6 **Planning Responsibilities**

Responsibility for COOP planning resides with the highest level of management of the department/agency/office involved. The chief elected official of the State is ultimately responsible for the continuation of essential services in an emergency and, consequently, for the related planning.

The department/agency/office head has several COOP planning responsibilities including, but not limited to, the following:

- Appointing a department/agency/office COOP Coordinator
- Developing a COOP Multi-Year Strategy and Program Management Plan
- Developing, approving, and maintaining COOP Plans for all components of the department/agency/office
- Coordinating COOP planning efforts and initiatives with policies, plans, and activities related to critical infrastructure protection
- Training the department's/agency's/office's staff for their COOP responsibilities
- Participating in periodic COOP exercises
- Notifying appropriate outside parties (e.g., the Governor) when COOP Plans are activated

The department/agency/office head may delegate tasks but will continue to regularly monitor and be updated on COOP Team efforts. There will be close coordination between the department's/agency's/office's management and the team responsible for COOP planning.

Table 1 lists the names, designated positions and the responsibilities of the personnel who are responsible for COOP planning.

1.7 Concept of Operations

An effective concept of operations describes the four phases of COOP Plan execution:

1. Readiness and preparation
2. Activation and relocation
3. COOP
4. Reconstitution

Note: See Plan Implementation Section.

The State provides comprehensive governmental functions and services focused on the creation, growth, and livelihood of critical infrastructure, economy, and community. Through inter- and intra-department/agency/office relationships, the State will provide critical and/or essential functions and services to ensure that lives, property, and economy are protected during and after a natural, man-made, or technical disruption or disaster.

The State is committed to ensuring that each of its citizens have peace of mind in knowing that if a disaster strikes their community, the State will continue critical and/or essential government functions using available facilities and personnel.

The State is dedicated to its citizens and business communities, and will always be ready to protect our public resources, our governmental services, and our regulatory powers so that in the event of a disaster, the State will experience minimal or no disruption.

1.8 Mission Statement

To provide leadership and administrative support to the Divisions and the Programs.

- Incident Command — Determine objectives and establish priorities based on the nature of the incident
- Planning Section — Develop the Incident Action Plan (IAP) to accomplish these objectives; collect and evaluate information and maintain status of assigned resources
- Operations Section — Develop the tactical organization and direct all resources to carry out the incident action plan
- Logistics Section — Provide resources and all other services needed for support, including transportation, food and lodging requirements
- Finance/Administrative Section — Monitor costs related to the incident, providing cost analysis and overall fiscal guidance to include procurement and time recording
- Legal Officer — Provide guidance on the legal and liability implications with COOP and Continuity of Government Plan activation

2.3 Phase 3: Continuity of Operations

This phase includes the following activities to continue essential functions:

- Account for all department/agency/office personnel
- Conduct essential functions (which depend on the situation)
- Establish communications with supporting and supported department/agency/office, and when and if directed to do so by the Governor and/or via this department/agency/office, the community
- Conduct recovery activities as needed, coordinated through this department/agency/office and other departments/agencies/offices with the required personnel expertise, (e.g. Department of Transportation), etc.

Plans or procedures include:

- Reception, in-processing, and accounting for COOP personnel
- Transition of responsibilities to the deployed continuity personnel
- Guidance for non-deployed personnel
- Identification of replacement personnel and augmentees, as necessary
- Execution of all essential functions at the continuity facility
- Activation of processes and procedures to acquire the resources necessary to continue essential functions
- Notification of the adjacent departments/agencies/offices, and, when and if directed to do so by the Governor via this department/agency/office, the community of COOP activation and status
- Redeployment plans for phasing down continuity facility operations and returning essential functions, personnel, records, and equipment to the primary or other operating facility when appropriate

3.0 ASSESSMENT

3.1 *Risk Assessment*

Hazard or threat identification and vulnerability assessment combine probabilities of event occurrence (e.g., earthquake, hurricane, tsunami, etc.) with factors relevant to the specific site (e.g., location, operational, and structural characteristics) to determine the risk of a given threat at a site. Risk is the predicted impact that a hazard might have on people, services, and facilities within a department/agency/office.

Listed in Table 2, in priority order, are the hazards that could occur in the State. The probability of occurrence (in terms of highly likely, medium chance of occurrence, and low possibility of occurring) is listed for each hazard.

3.2 *Vulnerability Assessment*

Secondary Hazards and Threats

Hazards and threats from a secondary source were considered. Neighboring departments/agencies/offices or facilities were considered if they housed materials or performed operations that generate hazards or threats for the department/agency/office. While there is no direct control over this type of hazard or threat, the site vulnerability may be higher.

Physical Security

A Site Vulnerability Analysis typically considers problems relating to the location of the facility in question. The Vulnerability Analysis may reference the risk of demonstrations, acts of terrorism, and crime rates in the immediate area. In addition, the Analysis may discuss the current protection methods used such as camera systems, guards, and access control systems.

Physical security design and assessment considers mechanical, electronic, and computer issues in addition to the building, and the department/agency/office function or location-related threats and hazards. Topics ranging from locking systems and updated standards to screening and detection equipment were included in the Vulnerability Analysis.

4.0 HUMAN CAPITAL MANAGEMENT

4.1 *Employee Dismissal or Building Closure Procedures*

Employee dismissal is per the Governor's Office and Department of Human Resources Development.

4.2 *Established Methods of Employee Communications*

Employee communications are conducted through a phone tree for the department/agency/office.

4.3 *Procedures for Making Media Announcements*

Media announcements during an emergency will be made through the Deputy Director (Public Information Officer) in conjunction with the Governor's Office, Director of Communications.

4.4 *Pay and Benefit Issues*

The Department of Accounting & General Services will be in control of all pay roll. Interpretation of pay and benefit authorities for all department/agency/office employees will be addressed to the Department of Human Resources Development.

5.0 ESSENTIAL FUNCTIONS

The department/agency/office has identified the essential functions that enable it to provide vital services, exercise civil authority, maintain the safety and well-being of the general population, and sustain the industrial and economic base in an emergency. Essential functions provide the basis for COOP planning.

The essential functions are prioritized according to those activities that are pivotal to resuming operations when a catastrophic event occurs. Prioritization is determined by the following:

- Time criticality of each essential function
- Sequence for recovery of essential functions and their critical processes

Note: An essential function's time criticality is related to the amount of time that function can be suspended before it adversely affects the department's/agency's/office's core mission. Time criticality can be measured by either recovery time or recovery point objectives. The Recovery Point Objective (RPO) is more specific to information systems. It is the amount of data that can be lost measured by a time index. Not all processes have RPOs, and some processes can have both a RPO and an RTO.

Essential functions and their supporting processes and services are intricately connected. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services that are necessary to assure continuance of an essential function are considered critical. Often, the processes and services deemed critical vary depending upon the emergency or if they have a time or calendar component.

Table 3 is a prioritized order of the essential functions within the department/agency/office. For each essential function listed, their critical dependencies (supportive processes or services) and their RTO are provided.

ESSENTIAL FUNCTIONS, DEPENDENCIES AND RECOVERY TIME OBJECTIVES

Priority	Essential Function	Supportive Processes or Services / COOP Strategy	Supporting Departments/Agencies/Offices	Recovery Time Objective (RTO)
9.	Process Worker's Compensation claims and benefits for DOT Divisions	<ul style="list-style-type: none"> • Personnel Staff • Obtain information related to claim(s) • Human Resources Management System 	<ul style="list-style-type: none"> • DOT Administration • DOT Divisions and employee claimants • Department of Human Resources Development 	Dependent upon submittal of claim of work related injury and determination of DHRD
10.	Process temporary disability claims and benefits for DOT Divisions	<ul style="list-style-type: none"> • Personnel Staff • Obtain information related to claim(s) • Human Resources Management System • Report claim decisions 	<ul style="list-style-type: none"> • DOT Administration • DOT Divisions and employee claimants • Department of Human Resources Development • Department of Labor 	Dependent upon submittal of claim of non-work related injury
11.	Process leave/share requests	<ul style="list-style-type: none"> • Personnel Staff • Obtain information related to claim(s) • Human Resources Management System 	<ul style="list-style-type: none"> • DOT Administration • DOT Divisions and employee claimants • Department of Human Resources Development 	Dependent upon submittal of leave/share request
12.	Solicit bids and process contracts and make awards	<ul style="list-style-type: none"> • Contracts Personnel within DOT • Contracts Office Log • DAGS SPO System 	<ul style="list-style-type: none"> • DOT Administration • DOT Server • DAGS 	Dependent upon the Division's needs
13.	Dissemination of information internally (Divisions) and externally (public)	<ul style="list-style-type: none"> • Radio • Television 	<ul style="list-style-type: none"> • Radio stations • TV stations • Governor's Office 	Dependent upon need
14.	Ensure compliance with environmental laws and regulations	<ul style="list-style-type: none"> • Environmental laws and regulations 	<ul style="list-style-type: none"> • Office of Special Compliance, DOT 	Dependent upon the Division's needs
15.	Ensure compliance regarding hazardous materials and regulations	<ul style="list-style-type: none"> • Hazardous material laws and regulations 	<ul style="list-style-type: none"> • Office of Special Compliance, DOT 	Dependent upon the Division's needs

6.0 KEY PERSONNEL

Each essential function has associated key personnel and positions that are necessary to the COOP. They represent strategically vital points in the department's/agency's/office's management and authority, and underscore the essential functions of the department/agency/office that must be carried out. If these positions are left unattended, the department/agency/office will not be able to meet customer needs or fulfill its essential functions.

Table 4 lists the key personnel, and their contact information, that perform essential functions, including supporting process and procedures. Also provided are the key personnel's current title and their role once operating under the COOP Plan.

KEY POSITION / PERSONNEL			
Essential Function	Name, Title, Address	COOP Role	Contact Information
Ensure compliance with procurement and fiscal accounting (reimbursement and making DOT payroll, including payments to vendors)	Business Management Officer	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Ensure processing of request for approval of budget and planning (for procurements) from Divisions within DOT	PPB Program Manager	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Process Worker's Compensation claims and benefits for DOT Divisions	Department Personnel Officer	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Process temporary disability claims and benefits for DOT Divisions	Department Personnel Officer	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Process leave/share requests	Department Personnel Officer	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Solicit bids and process contracts and make awards	Contracts Officer Manager	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Dissemination of information internally (Divisions) and externally (public)	Public Information Officer	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Ensure compliance with environmental laws and regulations	Environmental Health Specialist	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Ensure compliance regarding hazardous materials and regulations	Hazardous Materials Specialist	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:

7.0 ORDERS OF SUCCESSION

Succession planning ensures the continued effective performance of the department/agency/office by making provisions for the replacement of people in key positions. Succession orders should be of sufficient depth to ensure the department's/agency's/office's ability to manage, direct, and perform essential functions through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to department/agency/office in emergencies of all types.

Table 5 lists the key positions by essential function, the successors for the position, and the conditions for succession.

ORDERS OF SUCCESSION

Essential Function	Key Position / Personnel	Successor 1 (By position)	Successor 2 (By position)	Successor 3 (By position)	Condition for Succession
Ensure compliance with procurement and fiscal accounting (reimbursement and making DOT payroll, including payments to vendors)	Business Management Officer	Audit Supervisor	Financial & Accounting Supervisor	Federal Aid Accountant	Incapacitation or absence of key position/personnel
Ensure processing of request for approval of budget and planning (for procurements) from Divisions within DOT	PPB Program Manager	Program Evaluation Analyst	Project Management Engineer	Budget Analyst	Incapacitation or absence of key position/personnel
Process Worker's Compensation claims and benefits for DOT Divisions	Department Personnel Officer	Training & Safety Specialist	None	None	Incapacitation or absence of key position/personnel
Process temporary disability claims and benefits for DOT Divisions	Department Personnel Officer	Training & Safety Specialist	None	None	Incapacitation or absence of key position/personnel
Process leave/share requests	Department Personnel Officer	Training & Safety Specialist	None	None	Incapacitation or absence of key position/personnel
Solicit bids and process contracts and make awards	Contracts Officer Manager	Contracts Specialist I	Contracts Specialist II	Contracts Engineer	Incapacitation or absence of key position/personnel
Dissemination of information internally (Divisions) and externally (public)	Public Information Officer	Information Specialist I	Information Specialist II	None	Incapacitation or absence of key position/personnel
Ensure compliance with environmental laws and regulations	Environmental Health Specialist	Deputy Director	None	None	Incapacitation or absence of key position/personnel
Ensure compliance regarding hazardous materials and regulations	Hazardous Materials Specialist	Deputy Director	None	None	Incapacitation or absence of key position/personnel

Table 6 Delegation of Authority

DELEGATION OF AUTHORITY – SUCCESSOR 1							
Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Liaison for landline telephone support	Computer Operator			Incapacitation or absence of key position/personnel			
Support data communications through Blackberry's	Blackberry Administrator			Incapacitation or absence of key position/personnel			
Ensure IT network is operable	Communications & Network Administrations Staff I			Incapacitation or absence of key position/personnel			
Ensure Data Center Operations is functional	Communications & Network Administrations Staff I			Incapacitation or absence of key position/personnel			
IT Custom Applications (budget system, HRMS)	Information Resource Management Staff I			Incapacitation or absence of key position/personnel			
IT Desktop Applications and support	Office Automation Staff I			Incapacitation or absence of key position/personnel			

DELEGATION OF AUTHORITY – SUCCESSOR 1

Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Dissemination of information internally (Divisions) and externally (public)	Information Specialist I			Incapacitation or absence of key position/personnel			
Ensure compliance with environmental laws and regulations	Deputy Director			Incapacitation or absence of key position/personnel			
Ensure compliance regarding hazardous materials and regulations	Deputy Director			Incapacitation or absence of key position/personnel			

DELEGATION OF AUTHORITY – SUCCESSOR 2

Essential Function	Successor Position 2	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Ensure compliance with procurement and fiscal accounting (reimbursement and making DOT payroll, including payments to vendors)	Financial & Accounting Supervisor			Incapacitation or absence of 1 st successor position/personnel			
Ensure processing of request for approval of budget and planning (for procurements) from Divisions within DOT	Project Management Engineer			Incapacitation or absence of 1 st successor position/personnel			
Process Worker's Compensation claims and benefits for DOT Divisions	None			Incapacitation or absence of 1 st successor position/personnel			
Process temporary disability claims and benefits for DOT Divisions	None			Incapacitation or absence of 1 st successor position/personnel			
Process leave/share requests	None			Incapacitation or absence of 1 st successor position/personnel			
Solicit bids and process contracts and	Contracts Specialist II			Incapacitation or absence of 1 st successor			

Table 6 Delegation of Authority

DELEGATION OF AUTHORITY – SUCCESSOR 3							
Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Liaison for landline telephone support	Communications & Network Administrations Supervisor			Incapacitation or absence of 2 nd successor position/personnel			
Support data communications through BlackBerry's	IT Specialist			Incapacitation or absence of 2 nd successor position/personnel			
Ensure IT network is operable	Information Technology Manager			Incapacitation or absence of 2 nd successor position/personnel			
Ensure Data Center Operations is functional	Information Technology Manager			Incapacitation or absence of 2 nd successor position/personnel			
IT Custom Applications (budget system, HRMS)	Information Technology Manager			Incapacitation or absence of 2 nd successor position/personnel			
IT Desktop Applications and support	Information Technology Manager			Incapacitation or absence of 2 nd successor position/personnel			

DELEGATION OF AUTHORITY – SUCCESSOR 3

Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
make awards				position/personnel			
Dissemination of information internally (Divisions) and externally (public)	None			Incapacitation or absence of 2 nd successor position/personnel			
Ensure compliance with environmental laws and regulations	None			Incapacitation or absence of 2 nd successor position/personnel			
Ensure compliance regarding hazardous materials and regulations	None			Incapacitation or absence of 2 nd successor position/personnel			

Table 7 Devolution of Direction and Control

DEVOLUTION OF DIRECTION AND CONTROL						
Essential Function	Department/Agency/ Office to Transfer Essential Function	Roster of Trained Staff	Trigger for Devolution	Equipment and Supplies Needed	Procedures for Acquiring Supplies	Trigger for Reconstitution
Liaison for landline telephone support			DOT Administration is demolished			Recovery or rehire of trained staff.
Support data communications through Blackberry's			DOT Administration is demolished			Recovery or rehire of trained staff.
Ensure IT network is operable			DOT Administration is demolished			Recovery or rehire of trained staff.
Ensure Data Center Operations is functional			DOT Administration is demolished			Recovery or rehire of trained staff.
IT Custom Applications (budget system, HRMS)			DOT Administration is demolished			Recovery or rehire of trained staff.
IT Desktop Applications and support			DOT Administration is demolished			Recovery or rehire of trained staff.

DEVOLUTION OF DIRECTION AND CONTROL

Essential Function	Department/Agency/ Office to Transfer Essential Function	Roster of Trained Staff	Trigger for Devolution	Equipment and Supplies Needed	Procedures for Acquiring Supplies	Trigger for Reconstitution
materials and regulations			is demolished			

Table 8 Vital Records and Databases

VITAL RECORDS AND DATABASES				
Essential Function	Vital Records and Databases	Form of Record (e.g., hard copy, electronic)	Pre-Positioned or Hand Carried	Storage Location(s)
Liaison for landline telephone support				869 Punchbowl St., Room
Support data communications through BlackBerry's				869 Punchbowl St., Room
Ensure IT network is operable				869 Punchbowl St., Room
Ensure Data Center Operations is functional				869 Punchbowl St., Room
IT Custom Applications (budget system, HRMS)				869 Punchbowl St., Room
IT Desktop Applications and support				869 Punchbowl St., Room
Ensure compliance with procurement and fiscal accounting (reimbursement and making DOT payroll, including payments to vendors)				869 Punchbowl St., Room
Ensure processing of request for approval of budget and planning (for procurements) from Divisions within DOT				869 Punchbowl St., Room
Process Worker's Compensation claims and benefits for DOT Divisions				869 Punchbowl St., Room
Process temporary disability claims and benefits for DOT Divisions				869 Punchbowl St., Room
Process leave/share requests				869 Punchbowl St., Room
Solicit bids and process contracts and make awards				869 Punchbowl St., Room
Dissemination of information internally (Divisions) and externally (public)				869 Punchbowl St., Room

11.0 SYSTEM AND EQUIPMENT

A system or equipment is vital if it is essential to emergency operations and/or to the department's/agency's/office's continuance of essential functions during a crisis for a minimum of thirty days. COOP planning for vital systems and equipment proceeds in the same way as planning for vital records, (i.e., to the greatest extent possible, back-up electronic systems, pre-position duplicate systems and equipment at a separate facility, and update vital systems and equipment on a regular basis.)

Table 9 identifies the system and equipment that are essential to the continued function of the department/agency/office and its mission, as well as:

- Current status of the system and equipment (stand-alone or stored on the network)
- Whether the system and equipment is pre-positioned at the continuity facility
- Whether the system and equipment will be hand carried to the continuity facility
- The specific current location of the system and equipment

Note: Table 10, Critical Vendors, is for capturing all vendor information related to systems and equipment.

SYSTEM AND EQUIPMENT				
Essential Function	System and Equipment	Type of System and Equipment	Pre-Positioned or Hand Carried	Storage Location(s)
regulations Ensure compliance regarding hazardous materials and regulations				869 Punchbowl St., Room

Table 10 Critical Vendors

CRITICAL VENDORS			
Essential Function	Vendor (Name & Address)	Contact Information (Point of Contact Phone & Email)	Services Provided
Liaison for landline telephone support			
Support data communications through Blackberry's			
Ensure IT network is operable			
Ensure Data Center Operations is functional			
IT Custom Applications (budget system, HRMS)			
IT Desktop Applications and support			
Ensure compliance with procurement and fiscal accounting (reimbursement and making DOT payroll, including payments to vendors)			
Ensure processing of request for approval of budget and planning (for procurements) from Divisions within DOT			
Process Worker's Compensation claims and benefits for DOT Divisions			
Process temporary disability claims and benefits for DOT Divisions			
Process leave/share requests			
Solicit bids and process contracts and make awards			
Dissemination of information			

13.0 CONTINUITY FACILITIES

Emergencies or potential emergencies, whether anticipated or unanticipated, may affect the ability to perform mission-essential functions from the primary locations.

The identification and preparation of facilities that can be used to accomplish essential functions if the department's/agency's/office's primary facilities become unusable is critical. In selecting a continuity facility, it is essential to have a thorough understanding of the department's/agency's/office's mission, essential functions, concept for deployment and operations at a continuity facility, communications connectivity requirements, and resources allotted. These factors can vary widely from one department/agency/office to another. An acceptable facility for one department/agency/office might be provided in a borrowed conference room for use by a few key people on a temporary basis. A more complex department/agency/office might require a complete turn-key facility able to house the entire department/agency/office for an extended period.

13.1 *Continuity Facilities – Logistics*

Transportation, Lodging, and Food

In the event that the department/agency/office has to move to a continuity facility, the needs of staff operating at the facility must be met. This includes provision for logistical support and lodging through arrangement with vendors for transportation, hotels, catering, etc.

Security and Access

Not only does the continuity work site need to be identified and the care of staff arranged, but the security of and access to both the primary and continuity facilities during emergency and non-emergency situations also need to be arranged. The security procedures should accommodate all hazards and include provisions for identifying access restrictions.

13.2 *Continuity Facilities and Work Sites*

The continuity facility and work site allows the department's/agency's/office's key personnel to perform essential functions when an emergency renders the primary facility unusable.

Provide directions to the continuity facilities and work sites for COOP as well as layouts if possible. Where feasible, layouts could include room assignments, equipment location, etc.

13.3 *Continuity Facilities Information*

Table 11 lists the requirements for each essential function at the continuity facility and work site. In addition, the following information is also provided:

- Essential functions to be performed at each continuity facility and work site
- Number of employees needed at the continuity facility
- Logistical support requirements
- Resource and infrastructure requirements

13.4 *Continuity Facilities and Work Sites Layout*

As applicable, insert directions to, and images of, continuity facilities and work sites.

CONTINUITY FACILITY

Essential Function	Continuity Facility (Name & Address)	Number of Employees Required	Logistical Supports Required	Resources and Infrastructure Required
Ensure compliance with environmental laws and regulations				
Ensure compliance regarding hazardous materials and regulations				

Table 12 Interoperable Communications

INTEROPERABLE COMMUNICATIONS				
Communication System Needed in Continuity Facilities	Current Provider	Alternative Provider	Alternative Mode 1	Alternative Mode 2
Landlines	Hawaiian Telecom		Personal Cell Phones	Text Messaging
Personal Cell Phones	Various	Various	Text Messaging	
Internet				
Department Email			Personal Emails	Text Messaging
Department Website				
Hand-held radios/radios in vehicles	Pacific Wireless Communications	None	Personal Cell Phones	Text Messaging
Satellite phone (13)	County EOC or Airport Division for usage			

Note: Notifications to the community pertaining to the emergency situation and/or each department/agency/office during an emergency will be conducted via the appropriate medium, (e.g., PIO) announcements and/or when instructed, answering machine message at the department/agency/office level).

Each annual exercise will build upon the previous year's exercise, resulting in a full-scale exercise. This full-scale exercise will occur every fifth (5th) year.

This department/agency/office will facilitate the After Action Report (AAR) meeting. This meeting will be conducted within 30 days of an exercise or full-scale COOP activation. Within 60 days of conducting the meeting, this department/agency/office will publish the AAR.

For department/agency/office COOP activations, the department/agency/office affected will be responsible for conducting the AAR meeting and publishing the AAR within the allotted timeframe.

Exercise Schedule

Testing and exercise plans for COOP will include:

- Internal testing/exercising of COOP Plans and procedures
 1. As changes occur
 2. Upon implementation of the department/agency/office COOP Plan, with after actions and lessons learned,
 3. At least annually to ensure the ability to perform essential functions and operate from designated continuity facilities and work sites
- Testing of alert and notification procedures and systems for any type of emergency at least quarterly
- Joint department/agency/office exercising of COOP Plans, where applicable and feasible

15.3 Multi-Year Strategy and Program Management Plan

It is effective to maintain COOP capabilities using a multi-year strategy and program management plan. Such a management plan outlines the process(es) to be followed in designating essential functions and resources, defines short and long-term COOP goals and objectives, forecasts budgetary requirements, anticipates and addresses issues and potential obstacles, and establishes planning milestones.

15.4 COOP Plan Maintenance

The plan will be reviewed and updated at least annually, or whenever necessary, to reflect changes in the department/agency/office, essential functions, procedures, or contact information. Changes to the plan will be noted in the Revision Record provided in the Foreword. The COOP Program Management Team (Table 1) is responsible for ensuring that the plan is reviewed and updated.

The COOP Program Management Team is also responsible for the following:

- Addressing and resolving COOP Plan policy issues
- Advising the department/agency/office head on COOP-related matters
- Coordinating among related plans
- Conducting training, testing, and exercises
- Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Event Development and Planning (Cont'd)				
9.	Develop documentation/materials required to support event in accordance with approved schedule: <ul style="list-style-type: none"> • Concept & Objectives Paper • Event Plan • Evaluation Plan • Agenda • Slides • Participant Observation Form/Critique Form • Handouts/Participant Packets • Facilitator Books 			
10.	Add other documents/materials as required based on nature of event. <ul style="list-style-type: none"> • Coordinate with guest speakers and presenters, if applicable • Provide copy of approved agenda • Advise them of their allocated briefing/presentation timeframe • Request copies of their materials for inclusion in briefing slides and participant packet and indicate suspense date for these • Request list of their equipment/supply requirements and indicate suspense date for these • Provide lodging/billeting information, if applicable • Provide directions/map to training location, if applicable • Obtain speaker biography for introduction at the event 			
11.	Confirm space and dates with training location point of contact (POC)			
Administration				
1.	Create attendee list/roster <ul style="list-style-type: none"> • Update list as necessary • Forward all updates to other applicable POCs for administration, event site, transportation, security, and IT/communications, as applicable 			
2.	Create list of individuals requiring lodging/billeting			
3.	Complete and submit travel authorizations, if applicable			

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Site Logistics				
1.	Coordinate with building POC at event site/visit site before event <ul style="list-style-type: none"> • Determine existing equipment and resources • Identify any additional equipment and resources that will be required. Provide list of requirements and supplies to building POC • Determine best room layout/arrangement based on agenda and number of attendees • Determine if location is accessible to participants with disabilities if applicable 			
2.	Coordinate with cafeteria/food service POC at the training site, if applicable			
3.	Coordinate with billeting/lodging POC at event site <ul style="list-style-type: none"> • Forward copy of updated attendee lists as received • Obtain information (e.g., cost and location) on alternative lodging options if necessary 			
Transportation				
1.	Determine if transportation to training site is required. If so: <ul style="list-style-type: none"> • Determine number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC • Devise transportation schedule (i.e., marshalling point, departure time from marshalling point, return schedule) in coordination with site transportation POC 			
2.	Determine if on-site transportation is required. If yes: <ul style="list-style-type: none"> • Determine when transportation will be required and number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC 			

APPENDIX B: COOP DRIVE AWAY KITS

Drive-away kits are packages of records, information, communication, and computer equipment and other items or material related to an emergency operation to be used by those deployed to continuity facilities. A drive-away kit should be prepared and maintained in up-to-date condition for each member of the COOP team for response to any incident. The kit should contain those items essential to supporting the team member's operations at the continuity site. Each kit may be unique, but most should include items such as COOP checklists, key contact lists, electronic storage media, and files specific to the member's position, specialized tools, and maps to the continuity facility.

Consideration should be given to the possibility that an employee may not be able to access the drive-away kit at the time of an emergency. For example, an employee might be away from the department/agency/office at the time an event rendered it unusable and, thus, unable to return to retrieve the drive-away kit. It is prudent to take action to address such situations before an emergency occurs, such as storing drive-away kits in the employee's home or car, or pre-positioning important resources at the continuity facility.

The following are examples of items that may be included in Drive-Away kit:

- Department/agency/office COOP Plan;
- Identification and Charge Cards:
 - DHS ID Card;
 - FEMA ID Card;
 - Driver's License;
 - Government Travel Card;
 - Health Insurance Card; and/or
 - Personal Charge Card.
- Communication Equipment:
 - Pager/BlackBerry;
 - Government Cell Phone;
 - Personal Cell Phone;
 - Government Phone Card;
 - GETS Card; and/or
 - Personal Long-Distance Phone Card.
- Medical Needs:
 - Insurance Information;
 - List of Allergies/Blood Type;
 - Hearing Aids and Extra Batteries;
 - Glasses and Contact Lenses;
 - Extra Pair of Glasses/Contact Lenses;
 - Prescription Drugs;
 - Over-the-Counter Medications; and/or
 - Dietary Supplements, etc.
- Postage Stamps and Personal Stationary;
- Cash for Miscellaneous Expenses (including coins for vending machines);

APPENDIX C: GLOSSARY OF TERMS/ACRONYMS

Advance Team: A working group responsible for coordinating the activities associated with relocation planning and deployment of essential operations and positions during a COOP event.

After-Action Report: A narrative report that presents issues found during an exercise or an incident and recommendations on how those issues can be resolved.

Alternate Communications: Communication methods that provide the capability to perform minimum essential department or office functions until normal operations can be resumed.

Alternate Database/Records Access: The duplication and/or backup of vital resources and records, and the ability to access such resources and records in the event that the COOP Plan is put into effect.

Alternate Facilities/Work Site: A location, other than the normal facility, used to conduct critical functions and/or process data in the event that the primary facility is inaccessible or damaged. The alternate site provides the capability to perform minimum essential department or office functions until normal operations can be resumed.

Application Recovery: The component of IT Disaster Recovery which deals specifically with the restoration of business system software and data, after the processing platform has been restored or replaced.

Assessment: The act of assessing; appraisal.

Backup: The practice of copying information, regardless of the media (paper, microfilm, audio or video tape, computer disks, etc.) to provide a duplicate copy.

Business Continuity Plan: Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change.

Business Impact Analysis: An evaluation of the strengths and weaknesses of an agency's disaster preparedness and the impact an interruption would have on agency business. This is a management level analysis by which an organization assesses the quantitative (financial) and qualitative (non-financial) impact and loss.

Business IT Recovery Process: The common critical path that all companies follow during a recovery effort. There are major nodes along the path, which are followed regardless of the organization. The process has seven stages:

1. Immediate response
2. Environmental restoration
3. Functional restoration
4. Data synchronization
5. Restore business functions
6. Interim site
7. Return home

Call Tree: Cascading list of key agency personnel and outside emergency personnel in order of notification.

Chain of Communication: A list of names of agency personnel in the order that they will be notified in the event of an emergency; persons on the list may be responsible for communicating information to their subordinates in the agency and to those lower on the list.

Cold Site: A relocation site that is reserved for emergency use, but which requires the installation of equipment, etc., before it can support operation.

Communications: Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions (MEF) of the organization.

Continuity Coordinators: These are the senior representatives tasked with coordinating the organizations continuity program.

Continuity Guidance Circular: The guidance document provides direction to non-federal entities for developing continuity plans and programs.

Continuity of Government: The effort to ensure continued leadership, authorities, direction and control, and preservation of records, thereby maintaining a viable system of government.

Continuity of Operations: An internal effort within individual components of the government to assure that capability exists to continue essential component function across a wide range of potential emergencies through a planning document.

Emergency Relocation Group: Pre-designated staff who move to a relocation site to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident. The ERG is composed of an advance team plus emergency personnel.

ERG Member: A person who has been assigned responsibility to report to an alternate site, as required, to perform organizational essential functions or other tasks related to continuity of operations.

Essential Functions: Those functions that enable State agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, sustain the industrial/economic base in an emergency.

Essential Positions or Personnel: Those positions required to be filled by the local government of deemed essential by the State or individuals whose absence would jeopardize the continuation of an organization's essential functions.

Essential Resources: Resources the support the organization's ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general public, and sustain industrial and economic bases during an emergency.

Evacuation: Organized, phased, and supervised dispersal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Facilities: Locations where an organization's leadership and staff operate. Facilities should be able to provide staff with survivable protection and should enable continued and endurable operations.

Federal Continuity Directive: A document developed and promulgated by Department of Homeland Security which directs Federal executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

Federal Emergency Management Agency: An agency of the U.S. Department of Homeland Security to coordinate the response to a disaster that has occurred in the United States and that overwhelms the resources of local and state authorities.

First Responder: Police, fire and rescue, and emergency medical personnel who first arrive on the scene of an incident and take action to save lives, protect property, and meet basic human

needs.

For Official Use Only: A document designation used by Department of Defense and a number of other federal agencies to identify information or material which, although unclassified, may not be appropriate for public release.

Government Emergency Telecommunications Service: Supports Federal, State, local, and tribal government, industry, and non-governmental organization (NGO) personnel in performing their National Security and Emergency Preparedness missions. GETS provides emergency access and priority processing in the local and long distance segments of the Public Switched Telephone Network (PSTN). It is intended to be used in an emergency or crisis situation when the PSTN is congested and the probability of completing a call over normal or other alternate telecommunication means has significantly decreased.

Homeland Security Advisory System: A series of tools used by DHS that provide the public with guidance on the status of the Nation's homeland security. The system combines threat information with vulnerability assessments, and communicates this information to public safety officials and the public.

Hot Site: A fully equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities, and other equipment necessary to fully support an organization's immediate work and data processing requirements in the event of an emergency or a disaster.

Improvement Plan: A cycle of events that incorporates evaluations, AAR's and lessons learned into the development and implementation of an IP.

Incident Action Plan: Formally documents incident goals, operational period objectives, and the response strategy defined by Incident Command during response planning. It contains general tactics to achieve goals and objectives within the overall strategy, while providing important information on event and response parameters.

Incident Command System: A standardized, on-scene, all-hazards incident management approach that:

- Allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.
- Enables a coordinated response among various jurisdictions and functional agencies, both public and private.

Recovery Time Objective: The period of time within which systems, applications, or functions must be recovered after an outage.

Relocation Site (Alternate Facility): The site where all or designated employees will report for work if required to move from the primary facility.

Risk Assessment/ Analysis: An evaluation of the probability that certain disruptions will occur and the controls to reduce organization exposure to such risk.

Staff: Those personnel, both senior and core, who provide the leadership, advice, recommendations, and functional support necessary to continue essential operations.

Staging Area: Temporary location for personnel, supplies, and/or equipment to enable positioning of, and accounting for, resources not immediately assigned.

Standard Operating Procedures: Protocol for the conduct of regular operations.

Survivable Communications: The establishment and maintenance of an assured end-to-end communications path during all phases of a nuclear event.

Telecommuting Locations: Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.

Telework: The ability to work at a location other than the official duty station, using portable computers, high-speed telecommunications links and mobile communications devices.

Test, Training, and Exercise Program: Measures to ensure that an organization's continuity plan is capable of supporting the continued execution of the organization's essential functions throughout the duration of a continuity situation.

Virtual Offices: A location or environment where employees use portable information technologies and communication packages to do their work.

Vital Records and Systems: Records or documents, regardless of media (paper, microfilm, audio or video tape, computer disks, etc.) which, if damaged or destroyed, would disrupt business operations and information flows and cause considerable inconvenience and require placement or re-creation at considerable expense.

Vulnerability Analysis: A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications

infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

Warm Site: An alternate processing site which is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is only capable of providing backup after additional provisioning, software or customization is performed.

Weapons of Mass Destruction: Weapons that are capable of killing a lot of people and/or causing a high-order magnitude of destruction, or weapons that are capable of being used in such a way as to cause mass casualties or create large-scale destruction. WMDs are generally considered to be nuclear, biological, chemical and radiological devices, but WMDs can also be high-explosive devices.

Work-at-home: When employees carry out their work duties at their residence rather than their official duty station.

CROSS REFERENCE

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 20 http://www.homeland.ca.gov/pdf/HSPD-20.pdf		
Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	<p>It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.</p> <p>Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.</p>	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	<p>Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.</p> <p>A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.</p>	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	<p>Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences.</p> <p>Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.</p>	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	<p>Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis.</p> <p>Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.</p>	4.0 Human Capital Management

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 51

<http://www.fas.org/irp/offdocs/nspd/nspd-51.htm>

Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions. A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences. Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis. Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.	4.0 Human Capital Management
Definitions, (2), (i) AND Implementation Actions, (11), (A)	Government Functions that must be performed in order to support or implement the performance of Essential Functions before, during, and in the aftermath of an emergency. The continuation of the performance of Essential Functions during any emergency must be for a period of up to 30 days or until normal operations can be resumed.	5.0 Essential Functions

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	While an organization needs leaders, staff, communications, and facilities to perform its essential functions, it also needs well thought out and detailed plans for what to do with those key resources. Planning must include all of the requirements and procedures needed to perform essential functions.	1.6 Planning Responsibilities
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training, it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	2.0 Plan Implementation
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Risk management is the process to identify, control, and minimize the impact of uncertain events.	3.0 Risk / Vulnerability Assessment
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital	2) Agencies must provide guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event. 3) Agencies must implement a process to communicate the agency's operating status to all staff. 4) Agencies must implement a process to contact and account for all staff in the event of an emergency. 6) Agencies must implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help agencies continue essential functions during an emergency.	4.0 Human Capital Management
FCD 2, Policy, Number 5	Departments and agencies are to identify their Mission Essential Functions (MEF's) and the primary mission essential functions that support the MEF's and ensure that those functions can be continued through-out, or resumed rapidly after, a disruption of normal activities. The continuous performance of essential functions must be guaranteed with the right people, the right resources and the right planning.	5.0 Essential Functions
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital, Leadership and Staff	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. During a continuity event, emergency employees and other special categories of employees will be activated by an agency to perform assigned response duties.	6.0 Key Positions / Personnel

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note) (Cont'd)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Number 8, Pillar 3, Communications & Technology	All organizations must identify the communication requirements needed to perform their essential functions during both routine and continuity conditions.	14.0 Interoperable Communications
FCD 1, Elements of a Viable Continuity Capability, Number 9 (h), Test, Training and Exercise	Plan, conduct, and document periodic TT&Es to prepare for all-hazards continuity emergencies and disasters, identify deficiencies, and demonstrate the viability of continuity plans and programs. Deficiencies, actions to correct them, and a timeline for remedy must be documented in an organization's CAP.	15.0 Maintaining COOP Readiness
AND	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training , it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	
FCD 1, Program Management, Foundation: Continuity Planning and Program Management		

* **Note:** Federal Continuity Directive 2 (FCD 2) implements the requirements of Federal Continuity Directive 1, ANNEX C.

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)

http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (g)	<p>An organization's continuity of operations program, plans, and procedures should incorporate existing organization-specific guidance and direction for human capital management. These can include guidance on pay, leave, work scheduling, benefits, telework, hiring, etc., authorities and flexibilities.</p> <p>Organizations should implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help organizations continue essential functions during an emergency.</p>	4.0 Human Capital Management
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (a) Essential Functions	<p>The identification and prioritization of essential functions is a prerequisite for continuity planning, because they establish the planning parameters that drive an organization's efforts in all other planning and preparedness areas.</p>	5.0 Essential Functions
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff	<p>Continuity of leadership during crisis, especially in the case of senior positions is important to reassure and give confidence that the principal position or person or appropriate successor is managing the crisis and ensuring the performance of essential functions. Leaders need to set priorities and keep focus.</p>	6.0 Key Positions / Personnel
<p>Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff</p> <p>AND</p> <p>Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (b)</p>	<p>Continuity of leadership is critical to ensure continuity of essential functions. Organizations should provide for a clear line of succession in the absence of existing leadership and the necessary delegations of authority to ensure that succeeding leadership has the legal and other authorities to carry out their duties.</p> <p>Orders of Succession should be of sufficient depth to ensure that the organization can manage and direct its essential functions and operations throughout any emergency.</p>	7.0 Orders of Succession

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)
http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

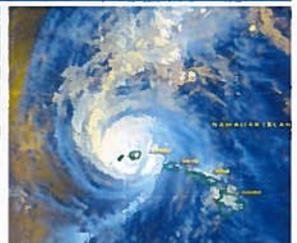
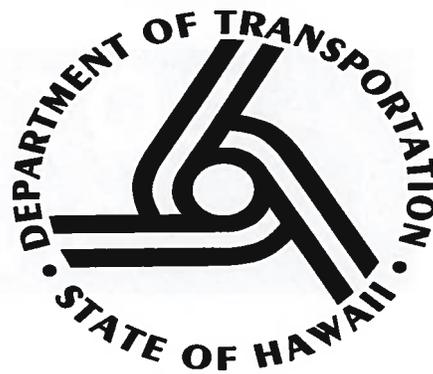
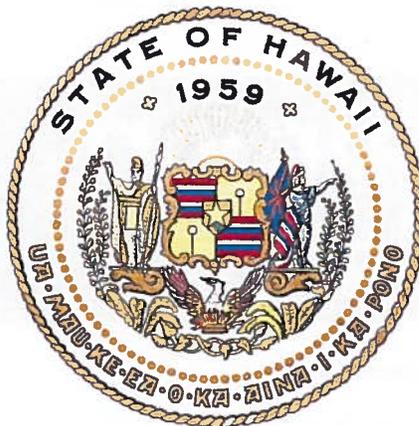
Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (e)	The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key leadership personnel, internal organization elements, federal and other non-federal entities, critical customers, and the public, during crisis and disaster conditions. The capabilities of communications and IT systems (e.g., secure and non-secure voice systems, video conferencing, and fax and other messaging capabilities) to be used during an incident should mirror those capabilities used during day-to-day operations, and the choice of communications and IT systems should consider how resilient those systems are and how capable they are of operating under conditions that may involve power or other infrastructure disruptions.	14.0 Interoperable Communications
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (h)	An effective TT&E program is necessary to assist organizations to prepare and validate their organization's continuity capabilities and program to perform essential functions during any emergency. This requires the identification, training, and preparedness of personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of organization essential functions.	15.0 Maintaining COOP Readiness

CONTINUITY GUIDANCE CIRCULAR 2 (Cont'd.)http://www.fema.gov/pdf/about/org/ncp/coop/cont_guidance2.pdf

Location in Directive	Brief Description	Section in COOP Plan
Process Overview Section 3-1	The identification of essential functions is the first element in ensuring a viable and effective continuity capability. In support of this goal it is important that (1) MEFs are accurately identified and prioritized; (2) a continuity-focused Business Process Analysis (BPA) is conducted to explore the processes required to perform each MEF; and (3) a Business Impact Analysis (BIA) is conducted to evaluate the effect threats and hazards may have on the ability to accomplish MEFs. Based on these analyses, risk mitigation strategies should be developed and implemented to help ensure successful MEF performance during a disruption.	5.0 Essential Functions
Mission Essential Functions Section 3-2	Identification and prioritization of MEFs represent the basis for effective continuity planning. Prioritizing the MEFs helps focus the organization to ensure that the highest priority missions receive the appropriate effort first, particularly during a crisis when emergency resources may be limited.	

CONTINUITY OF OPERATIONS PLAN (COOP)

DEPARTMENT OF TRANSPORTATION AIRPORT DIVISION



MARCH 2012

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All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. and state statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4 and 6 and the Hawaii Uniform Information Practices Act. This document is to be used to implement the State of Hawaii, hereafter referred to as "State", Continuity of Operations (COOP) Plan and contact government personnel in response to an emergency affecting the State. Unauthorized use of this information may constitute an invasion of privacy.

FOREWORD

The DOT Airport Division has essential operations and functions that must be performed, or rapidly and efficiently resumed, in a disaster or national emergency. Emergency events can quickly interrupt, paralyze, and/or destroy the ability of the DOT Airport Division to perform these essential operations. While the impact of these emergencies cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities, our services, and our mission.

The State, along with its officials and departments/agencies/offices, has prepared a comprehensive and effective COOP Plan to ensure that essential operations can be performed during an emergency situation that may disrupt normal operations. This plan was developed to establish policy and guidance to ensure the execution of mission essential functions and to direct the relocation of personnel and resources to a continuity facility capable of supporting operations. The plan outlines procedures for alerting, notifying, activating, and deploying personnel; identifying the mission essential functions; establishing a continuity facility; and identifying personnel with authority and knowledge of these functions.

DISTRIBUTION LIST

Distribution of the full version of this COOP Plan, which may contain sensitive information, will be restricted to essential personnel governed by a need-to-know basis.

All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4, and 6.

DISTRIBUTION LIST	
Plan Holder	
1	Civil Defense
2	Department of Transportation
3	Districts within Airports Division
4	
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6	

General (G) Distribution

General distribution of selected unclassified sections of the COOP Plan may be issued to all employees to ensure a high level of readiness. Distribution methods may be a combination of the local department's/agency's/office's instructional letters, employee bulletins, or other internal memoranda.

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1.0 INTRODUCTION

1.1 *Introduction*

The key purpose of COOP planning is to reduce the consequences of a disaster to acceptable levels. Although when and how a disaster will occur is not known, the fact that future disasters will happen is certain. A COOP Plan is designed and implemented to establish response, recovery, resumption, and restoration procedures.

1.2 *Purpose*

This COOP Plan for the State presents a management framework, establishes operational procedures to sustain essential activities if normal operations are not feasible, and guides the restoration of the government's full functions. The plan provides for attaining operational capability within 12 hours and sustaining operations for 30 days or longer in the event of a catastrophic event or an emergency affecting the State.

The primary objectives of this plan are to:

- Ensure the continuous performance of the essential functions during an emergency
- Protect essential facilities, equipment, vital records, and other assets
- Reduce or mitigate disruptions to essential functions
- Assess and minimize damage and losses
- Facilitate decision-making during an emergency
- Achieve a timely and orderly recovery from an emergency and resumption of full service to customers

The COOP planning program's characteristics are:

- Capable of being maintained at a high level of readiness
- Capable of implementation with or without warning
- Able to achieve operational status no later than 12 hours after activation
- Able to sustain essential functions for up to 30 days
- Designed to take maximum advantage of existing department/agency/office infrastructures

1.3 *Applicability and Scope*

The departments/agencies/offices to which this COOP Plan applies are:

- Civil Defense
- Department of Transportation

The emergency conditions, events, and situations (sometimes referred to as "triggers") under which this COOP Plan would be implemented include:

- State facilities are down but the rest of the facilities are functioning normally
- State facilities are down, and other critical services are down (e.g., electricity, water, etc.)
- All facilities are down due to natural causes and/or
- All facilities are compromised due to man-made events (e.g., a terrorist attack)

1.6 Planning Responsibilities

Responsibility for COOP planning resides with the highest level of management of the department/agency/office involved. The chief elected official of the State is ultimately responsible for the continuation of essential services in an emergency and, consequently, for the related planning.

The department/agency/office head has several COOP planning responsibilities including, but not limited to, the following:

- Appointing a department/agency/office COOP Coordinator
- Developing a COOP Multi-Year Strategy and Program Management Plan
- Developing, approving, and maintaining COOP Plans for all components of the department/agency/office
- Coordinating COOP planning efforts and initiatives with policies, plans, and activities related to critical infrastructure protection
- Training the department's/agency's/office's staff for their COOP responsibilities
- Participating in periodic COOP exercises
- Notifying appropriate outside parties (e.g., the Governor) when COOP Plans are activated

The department/agency/office head may delegate tasks but will continue to regularly monitor and be updated on COOP Team efforts. There will be close coordination between the department's/agency's/office's management and the team responsible for COOP planning.

Table 1 lists the names, designated positions and the responsibilities of the personnel who are responsible for COOP planning.

1.7 Concept of Operations

An effective concept of operations describes the four phases of COOP Plan execution:

1. Readiness and preparation
2. Activation and relocation
3. COOP
4. Reconstitution

Note: See Plan Implementation Section.

The State provides comprehensive governmental functions and services focused on the creation, growth, and livelihood of critical infrastructure, economy, and community. Through inter- and intra-department/agency/office relationships, the State will provide critical and/or essential functions and services to ensure that lives, property, and economy are protected during and after a natural, man-made, or technical disruption or disaster.

The State is committed to ensuring that each of its citizens have peace of mind in knowing that if a disaster strikes their community, the State will continue critical and/or essential government functions using available facilities and personnel.

The State is dedicated to its citizens and business communities, and will always be ready to protect our public resources, our governmental services, and our regulatory powers so that in the event of a disaster, the State will experience minimal or no disruption.

1.8 Mission Statement

The mission of the Airports Division is to develop, manage and maintain a safe and efficient global air transportation organization.

- Incident Command — Determine objectives and establish priorities based on the nature of the incident
- Planning Section — Develop the Incident Action Plan (IAP) to accomplish these objectives; collect and evaluate information and maintain status of assigned resources
- Operations Section — Develop the tactical organization and direct all resources to carry out the incident action plan
- Logistics Section — Provide resources and all other services needed for support, including transportation, food and lodging requirements
- Finance/Administrative Section — Monitor costs related to the incident, providing cost analysis and overall fiscal guidance to include procurement and time recording
- Legal Officer — Provide guidance on the legal and liability implications with COOP and Continuity of Government Plan activation

2.3 Phase 3: Continuity of Operations

This phase includes the following activities to continue essential functions:

- Account for all department/agency/office personnel
- Conduct essential functions (which depend on the situation)
- Establish communications with supporting and supported department/agency/office, and when and if directed to do so by the Governor and/or via this department/agency/office, the community
- Conduct recovery activities as needed, coordinated through this department/agency/office and other departments/agencies/offices with the required personnel expertise, (e.g. Department of Transportation), etc.

Plans or procedures include:

- Reception, in-processing, and accounting for COOP personnel
- Transition of responsibilities to the deployed continuity personnel
- Guidance for non-deployed personnel
- Identification of replacement personnel and augmentees, as necessary
- Execution of all essential functions at the continuity facility
- Activation of processes and procedures to acquire the resources necessary to continue essential functions
- Notification of the adjacent departments/agencies/offices, and, when and if directed to do so by the Governor via this department/agency/office, the community of COOP activation and status
- Redeployment plans for phasing down continuity facility operations and returning essential functions, personnel, records, and equipment to the primary or other operating facility when appropriate

3.0 ASSESSMENT

3.1 Risk Assessment

Hazard or threat identification and vulnerability assessment combine probabilities of event occurrence (e.g., earthquake, hurricane, tsunami, etc.) with factors relevant to the specific site (e.g., location, operational, and structural characteristics) to determine the risk of a given threat at a site. Risk is the predicted impact that a hazard might have on people, services, and facilities within a department/agency/office.

Listed in Table 2, in priority order, are the hazards that could occur in the State. The probability of occurrence (in terms of highly likely, medium chance of occurrence, and low possibility of occurring) is listed for each hazard.

3.2 Vulnerability Assessment Secondary Hazards and Threats

Hazards and threats from a secondary source were considered. Neighboring departments/agencies/offices or facilities were considered if they housed materials or performed operations that generate hazards or threats for the department/agency/office. While there is no direct control over this type of hazard or threat, the site vulnerability may be higher.

Physical Security

A Site Vulnerability Analysis typically considers problems relating to the location of the facility in question. The Vulnerability Analysis may reference the risk of demonstrations, acts of terrorism, and crime rates in the immediate area. In addition, the Analysis may discuss the current protection methods used such as camera systems, guards, and access control systems.

Physical security design and assessment considers mechanical, electronic, and computer issues in addition to the building, and the department/agency/office function or location-related threats and hazards. Topics ranging from locking systems and updated standards to screening and detection equipment were included in the Vulnerability Analysis.

4.0 HUMAN CAPITAL MANAGEMENT

4.1 *Employee Dismissal or Building Closure Procedures*

Employee dismissal is per the Governor's Office and Department of Human Resources Development.

4.2 *Established Methods of Employee Communications*

Employee communications are conducted through a phone tree for the department/agency/office.

4.3 *Procedures for Making Media Announcements*

Media announcements during an emergency will be made through the Deputy Director (Public Information Officer) in conjunction with the Governor's Office, Director of Communications.

4.4 *Pay and Benefit Issues*

The Department of Accounting & General Services will be in control of all pay roll. Interpretation of pay and benefit authorities for all department/agency/office employees will be addressed to the Department of Human Resources Development.

5.0 ESSENTIAL FUNCTIONS

The department/agency/office has identified the essential functions that enable it to provide vital services, exercise civil authority, maintain the safety and well-being of the general population, and sustain the industrial and economic base in an emergency. Essential functions provide the basis for COOP planning.

The essential functions are prioritized according to those activities that are pivotal to resuming operations when a catastrophic event occurs. Prioritization is determined by the following:

- Time criticality of each essential function
- Sequence for recovery of essential functions and their critical processes

Note: An essential function's time criticality is related to the amount of time that function can be suspended before it adversely affects the department's/agency's/office's core mission. Time criticality can be measured by either recovery time or recovery point objectives. The Recovery Point Objective (RPO) is more specific to information systems. It is the amount of data that can be lost measured by a time index. Not all processes have RPOs, and some processes can have both a RPO and an RTO.

Essential functions and their supporting processes and services are intricately connected. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services that are necessary to assure continuance of an essential function are considered critical. Often, the processes and services deemed critical vary depending upon the emergency or if they have a time or calendar component.

Table 3 is a prioritized order of the essential functions within the department/agency/office. For each essential function listed, their critical dependencies (supportive processes or services) and their RTO are provided.

6.0 KEY PERSONNEL

Each essential function has associated key personnel and positions that are necessary to the COOP. They represent strategically vital points in the department's/agency's/office's management and authority, and underscore the essential functions of the department/agency/office that must be carried out. If these positions are left unattended, the department/agency/office will not be able to meet customer needs or fulfill its essential functions.

Table 4 lists the key personnel, and their contact information, that perform essential functions, including supporting process and procedures. Also provided are the key personnel's current title and their role once operating under the COOP Plan.

7.0 ORDERS OF SUCCESSION

Succession planning ensures the continued effective performance of the department/agency/office by making provisions for the replacement of people in key positions. Succession orders should be of sufficient depth to ensure the department's/agency's/office's ability to manage, direct, and perform essential functions through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to department/agency/office in emergencies of all types.

Table 5 lists the key positions by essential function, the successors for the position, and the conditions for succession.

8.0 DELEGATION OF AUTHORITY

Delegation of Authority in COOP planning ensures rapid response to an emergency that requires COOP Plan activation.

The types of authority that are addressed are emergency authority and administrative authority.

Emergency Authority refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP Plan, deciding whether to evacuate a building, or determining which personnel should report for their duties.

Administrative Authority refers to the ability to make decisions that have effects beyond the duration of the emergency. Unlike emergency authority, administrative authority does not have a built-in expiration date. Such decisions involve policy determinations and include hiring and dismissal of employees and allocation of fiscal and non-monetary resources.

A successor's authority is either full or limited.

Full – Successor will assume full responsibility for essential function(s) during a COOP event.

Limited – Successor will assume limited responsibility for essential function(s) during a COOP event. If a successor's responsibility is limited the limitations need to be defined.

8.1 *Rules and Procedures for Delegating Authority*

This delegation of authority component requires a list of conditions or events that will trigger the delegation of authority for each key position. Activation of any delegation of authority is tied to the level of threat or the category of emergency. How the designee will assume authority and how staff will be notified of the delegation are included in Table 6.

8.2 *Limitations of Authority and Accountability of the Delegation*

Limitations on the delegation are often restrictions on the duration, extent, or scope of the authority. Officials who may be expected to assume authority in an emergency are trained to perform their emergency duties.

Delegation of Authority outlines the breadth and depth of responsibility of the successor for the following:

- Each essential function
- Each key position

Table 6 lists the position(s) being delegated and the specific authority or task(s) to be performed along with the types of authority being granted. Also listed in the table are:

- The activities or actions that would trigger a delegation of authority
- Rules governing the successor's ability to exercise authority
- Procedures that must be followed before successors exercise authority
- Any limitations of authority

DELEGATION OF AUTHORITY – SUCCESSOR 1

Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Agriculture for passengers and cargo, including military – anything coming into and out of the airport)							

DELEGATION OF AUTHORITY – SUCCESSOR 2

Essential Function	Successor Position 2	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Agriculture for passengers and cargo, including military – anything coming into and out of the airport)							

DELEGATION OF AUTHORITY – SUCCESSOR 3

Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Agriculture for passengers and cargo, including military – anything coming into and out of the airport)							

Table 7 Devolution of Direction and Control

DEVOLUTION OF DIRECTION AND CONTROL							
Essential Function	Department/Agency/Office to Transfer Essential Function	Roster of Trained Staff	Trigger for Devolution	Equipment and Supplies Needed	Procedures for Acquiring Supplies	Trigger for Reconstitution	
Maintain FAR Part 139 (FAA requirement to maintain airport certification – for aircraft movement and operations)	District personnel	Yes	Airports Division is demolished	N/A	N/A	Recovery or rehire of trained staff.	
Maintain airport security (TSR 1542)	District personnel	Yes	Airports Division is demolished	N/A	N/A	Recovery or rehire of trained staff.	
Ensure passengers can access terminal	District personnel	Yes	Airports Division is demolished	N/A	N/A	Recovery or rehire of trained staff.	
Ensure capability for international travel (49CFR)	District personnel	Yes	Airports Division is demolished	N/A	N/A	Recovery or rehire of trained staff.	
Ensure communicable disease control (Center for Disease Control & Prevention)	District personnel	Yes	Airports Division is demolished	N/A	N/A	Recovery or rehire of trained staff.	
Maintain quarantine regulations (US Department of Agriculture and State of Hawaii Department of Agriculture for passengers and cargo, including military – anything coming into and out of the airport)	District personnel	Yes	Airports Division is demolished	N/A	N/A	Recovery or rehire of trained staff.	

Table 8 Vital Records and Databases

VITAL RECORDS AND DATABASES				
Essential Function	Vital Records and Databases	Form of Record (e.g., hard copy, electronic)	Pre-Positioned or Hand Carried	Storage Location(s)
Maintain FAR Part 139 (FAA requirement to maintain airport certification – for aircraft movement and operations)	Delegated to District level: Procure services from others Receipts from purchases Damage Assessment Report	Hard copy and electronic	Pre-Positioned and/or hand carried	Airports Division
Maintain airport security (TSR 1542)	Delegated to District level: Procure services from others Receipts from purchases Damage Assessment Report	Hard copy and electronic	Pre-Positioned and/or hand carried	Airports Division

11.0 SYSTEM AND EQUIPMENT

A system or equipment is vital if it is essential to emergency operations and/or to the department's/agency's/office's continuance of essential functions during a crisis for a minimum of thirty days. COOP planning for vital systems and equipment proceeds in the same way as planning for vital records, (i.e., to the greatest extent possible, back-up electronic systems, pre-position duplicate systems and equipment at a separate facility, and update vital systems and equipment on a regular basis.)

Table 9 identifies the system and equipment that are essential to the continued function of the department/agency/office and its mission, as well as:

- Current status of the system and equipment (stand-alone or stored on the network)
- Whether the system and equipment is pre-positioned at the continuity facility
- Whether the system and equipment will be hand carried to the continuity facility
- The specific current location of the system and equipment

Note: Table 10, Critical Vendors, is for capturing all vendor information related to systems and equipment.

SYSTEM AND EQUIPMENT

Essential Function	System and Equipment	Type of System and Equipment	Pre-Positioned or Hand Carried	Storage Location(s)
Department of Agriculture for passengers and cargo, including military – anything coming into and out of the airport)	<ul style="list-style-type: none"> • Automated Systems • Telephone including cell phones • Sat phones 	<ul style="list-style-type: none"> • Communications 		<ul style="list-style-type: none"> • Airports Division • Airports Division • Districts

Table 10 Critical Vendors

CRITICAL VENDORS (SEE AIRPORT VENDOR LISTING OF CURRENT VENDORS)			
Essential Function	Vendor (Name & Address)	Contact Information (Point of Contact Phone & Email)	Services Provided
Maintain FAR Part 139 (FAA requirement to maintain airport certification – for aircraft movement and operations)	Various vendors	Varies	Airport pavement Signs and lighting Critical utility services Fueling agencies Airport Rescue and Fire Fighting (ARFF)
Maintain airport security (TSR 1542)	Various vendors	Varies	Airport Security Contract Airport Sheriff Detail
Ensure passengers can access terminal	Various vendors	Varies	Food and Beverage Critical utility services Structural
Ensure capability for international travel (49CFR)	N/A	N/A	N/A
Ensure communicable disease control (Center for Disease Control & Prevention)	N/A	N/A	N/A
Maintain quarantine regulations (US Department of Agriculture and State of Hawaii Department of Agriculture for passengers and cargo, including military – anything coming into and out of the airport)	N/A	N/A	N/A

Table 11 Continuity Facility

CONTINUITY FACILITY					
Essential Function	Continuity Facility (Name & Address)	Number of Employees Required	Logistical Supports Required	Resources and Infrastructure Required	
Maintain FAR Part 139 (FAA requirement to maintain airport certification – for aircraft movement and operations)	Alternate District Office	~ 50 - 100	N/A	N/A	
Maintain airport security (TSR 1542)	Alternate District Office		N/A	N/A	
Ensure passengers can access terminal	Alternate District Office		N/A	N/A	
Ensure capability for international travel (49CFR)	Alternate District Office	N/A – Federal function	N/A	N/A	
Ensure communicable disease control (Center for Disease Control & Prevention)	Alternate District Office	N/A - Federal function	N/A	N/A	
Maintain quarantine regulations (US Department of Agriculture and State of Hawaii Department of Agriculture for passengers and cargo, including military – anything coming into and out of the airport)	Alternate District Office	N/A - Federal and state functions	N/A	N/A	

Table 12 Interoperable Communications

INTEROPERABLE COMMUNICATIONS				
Communication System Needed in Continuity Facilities	Current Provider	Alternative Provider	Alternative Mode 1	Alternative Mode 2
Landlines	Hawaiian Telecom		Personal Cell Phones	Text Messaging
Personal and issued Cell Phones	Various	Various	Text Messaging	
Internet				
Department Email			Personal Emails	Text Messaging
Department Website				
Hand-held radios/radios in vehicles	Pacific Wireless Communications	None	Personal Cell Phones	Text Messaging
Satellite phone (13)	Airport Division			

Note: Notifications to the community pertaining to the emergency situation and/or each department/agency/office during an emergency will be conducted via the appropriate medium, (e.g., PIO) announcements and/or when instructed, answering machine message at the department/agency/office level).

Each annual exercise will build upon the previous year's exercise, resulting in a full-scale exercise. This full-scale exercise will occur every fifth (5th) year.

This department/agency/office will facilitate the After Action Report (AAR) meeting. This meeting will be conducted within 30 days of an exercise or full-scale COOP activation. Within 60 days of conducting the meeting, this department/agency/office will publish the AAR.

For department/agency/office COOP activations, the department/agency/office affected will be responsible for conducting the AAR meeting and publishing the AAR within the allotted timeframe.

Exercise Schedule

Testing and exercise plans for COOP will include:

- Internal testing/exercising of COOP Plans and procedures
 1. As changes occur
 2. Upon implementation of the department/agency/office COOP Plan, with after actions and lessons learned,
 3. At least annually to ensure the ability to perform essential functions and operate from designated continuity facilities and work sites
- Testing of alert and notification procedures and systems for any type of emergency at least quarterly
- Joint department/agency/office exercising of COOP Plans, where applicable and feasible

15.3 Multi-Year Strategy and Program Management Plan

It is effective to maintain COOP capabilities using a multi-year strategy and program management plan. Such a management plan outlines the process(es) to be followed in designating essential functions and resources, defines short and long-term COOP goals and objectives, forecasts budgetary requirements, anticipates and addresses issues and potential obstacles, and establishes planning milestones.

15.4 COOP Plan Maintenance

The plan will be reviewed and updated at least annually, or whenever necessary, to reflect changes in the department/agency/office, essential functions, procedures, or contact information. Changes to the plan will be noted in the Revision Record provided in the Foreword. The COOP Program Management Team (Table 1) is responsible for ensuring that the plan is reviewed and updated.

The COOP Program Management Team is also responsible for the following:

- Addressing and resolving COOP Plan policy issues
- Advising the department/agency/office head on COOP-related matters
- Coordinating among related plans
- Conducting training, testing, and exercises
- Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Event Development and Planning (Cont'd)				
9.	Develop documentation/materials required to support event in accordance with approved schedule: <ul style="list-style-type: none"> • Concept & Objectives Paper • Event Plan • Evaluation Plan • Agenda • Slides • Participant Observation Form/Critique Form • Handouts/Participant Packets • Facilitator Books Add other documents/materials as required based on nature of event.			
10.	Coordinate with guest speakers and presenters, if applicable <ul style="list-style-type: none"> • Provide copy of approved agenda • Advise them of their allocated briefing/presentation timeframe • Request copies of their materials for inclusion in briefing slides and participant packet and indicate suspense date for these • Request list of their equipment/supply requirements and indicate suspense date for these • Provide lodging/billeting information, if applicable • Provide directions/map to training location, if applicable • Obtain speaker biography for introduction at the event Confirm space and dates with training location point of contact (POC)			
11.				
Administration				
1.	Create attendee list/roster <ul style="list-style-type: none"> • Update list as necessary • Forward all updates to other applicable POCs for administration, event site, transportation, security, and IT/communications, as applicable 			
2.	Create list of individuals requiring lodging/billeting			
3.	Complete and submit travel authorizations, if applicable			

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Site Logistics				
1.	Coordinate with building POC at event site/visit site before event <ul style="list-style-type: none"> • Determine existing equipment and resources • Identify any additional equipment and resources that will be required. Provide list of requirements and supplies to building POC • Determine best room layout/arrangement based on agenda and number of attendees • Determine if location is accessible to participants with disabilities if applicable 			
2.	Coordinate with cafeteria/food service POC at the training site, if applicable			
3.	Coordinate with billeting/lodging POC at event site <ul style="list-style-type: none"> • Forward copy of updated attendee lists as received • Obtain information (e.g., cost and location) on alternative lodging options if necessary 			
Transportation				
1.	Determine if transportation to training site is required. If so: <ul style="list-style-type: none"> • Determine number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC • Devise transportation schedule (i.e., marshalling point, departure time from marshalling point, return schedule) in coordination with site transportation POC 			
2.	Determine if on-site transportation is required. If yes: <ul style="list-style-type: none"> • Determine when transportation will be required and number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC 			

APPENDIX B: COOP DRIVE AWAY KITS

Drive-away kits are packages of records, information, communication, and computer equipment and other items or material related to an emergency operation to be used by those deployed to continuity facilities. A drive-away kit should be prepared and maintained in up-to-date condition for each member of the COOP team for response to any incident. The kit should contain those items essential to supporting the team member's operations at the continuity site. Each kit may be unique, but most should include items such as COOP checklists, key contact lists, electronic storage media, and files specific to the member's position, specialized tools, and maps to the continuity facility.

Consideration should be given to the possibility that an employee may not be able to access the drive-away kit at the time of an emergency. For example, an employee might be away from the department/agency/office at the time an event rendered it unusable and, thus, unable to return to retrieve the drive-away kit. It is prudent to take action to address such situations before an emergency occurs, such as storing drive-away kits in the employee's home or car, or pre-positioning important resources at the continuity facility.

The following are examples of items that may be included in Drive-Away kit:

- Department/agency/office COOP Plan;
- Identification and Charge Cards:
 - DHS ID Card;
 - FEMA ID Card;
 - Driver's License;
 - Government Travel Card;
 - Health Insurance Card; and/or
 - Personal Charge Card.
- Communication Equipment:
 - Pager/BlackBerry;
 - Government Cell Phone;
 - Personal Cell Phone;
 - Government Phone Card;
 - GETS Card; and/or
 - Personal Long-Distance Phone Card.
- Medical Needs:
 - Insurance Information;
 - List of Allergies/Blood Type;
 - Hearing Aids and Extra Batteries;
 - Glasses and Contact Lenses;
 - Extra Pair of Glasses/Contact Lenses;
 - Prescription Drugs;
 - Over-the-Counter Medications; and/or
 - Dietary Supplements, etc.
- Postage Stamps and Personal Stationary;
- Cash for Miscellaneous Expenses (including coins for vending machines);

APPENDIX C: GLOSSARY OF TERMS/ACRONYMS

Advance Team: A working group responsible for coordinating the activities associated with relocation planning and deployment of essential operations and positions during a COOP event.

After-Action Report: A narrative report that presents issues found during an exercise or an incident and recommendations on how those issues can be resolved.

Alternate Communications: Communication methods that provide the capability to perform minimum essential department or office functions until normal operations can be resumed.

Alternate Database/Records Access: The duplication and/or backup of vital resources and records, and the ability to access such resources and records in the event that the COOP Plan is put into effect.

Alternate Facilities/Work Site: A location, other than the normal facility, used to conduct critical functions and/or process data in the event that the primary facility is inaccessible to damaged. The alternate site provides the capability to perform minimum essential department or office functions until normal operations can be resumed.

Application Recovery: The component of IT Disaster Recovery which deals specifically with the restoration of business system software and data, after the processing platform has been restored or replaced.

Assessment: The act of assessing; appraisal.

Backup: The practice of copying information, regardless of the media (paper, microfilm, audio or video tape, computer disks, etc.) to provide a duplicate copy.

Business Continuity Plan: Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change.

Business Impact Analysis: An evaluation of the strengths and weaknesses of an agency's disaster preparedness and the impact an interruption would have on agency business. This is a management level analysis by which an organization assesses the quantitative (financial) and qualitative (non-financial) impact and loss.

Business IT Recovery Process: The common critical path that all companies follow during a recovery effort. There are major nodes along the path, which are followed regardless of the organization. The process has seven stages:

1. Immediate response
2. Environmental restoration
3. Functional restoration
4. Data synchronization
5. Restore business functions
6. Interim site
7. Return home

Call Tree: Cascading list of key agency personnel and outside emergency personnel in order of notification.

Chain of Communication: A list of names of agency personnel in the order that they will be notified in the event of an emergency; persons on the list may be responsible for communicating information to their subordinates in the agency and to those lower on the list.

Cold Site: A relocation site that is reserved for emergency use, but which requires the installation of equipment, etc., before it can support operation.

Communications: Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions (MEF) of the organization.

Continuity Coordinators: These are the senior representatives tasked with coordinating the organizations continuity program.

Continuity Guidance Circular: The guidance document provides direction to non-federal entities for developing continuity plans and programs.

Continuity of Government: The effort to ensure continued leadership, authorities, direction and control, and preservation of records, thereby maintaining a viable system of government.

Continuity of Operations: An internal effort within individual components of the government to assure that capability exists to continue essential component function across a wide range of potential emergencies through a planning document.

Emergency Relocation Group: Pre-designated staff who move to a relocation site to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident. The ERG is composed of an advance team plus emergency personnel.

ERG Member: A person who has been assigned responsibility to report to an alternate site, as required, to perform organizational essential functions or other tasks related to continuity of operations.

Essential Functions: Those functions that enable State agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, sustain the industrial/economic base in an emergency.

Essential Positions or Personnel: Those positions required to be filled by the local government of deemed essential by the State or individuals whose absence would jeopardize the continuation of an organization's essential functions.

Essential Resources: Resources the support the organization's ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general public, and sustain industrial and economic bases during an emergency.

Evacuation: Organized, phased, and supervised dispersal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Facilities: Locations where an organization's leadership and staff operate. Facilities should be able to provide staff with survivable protection and should enable continued and endurable operations.

Federal Continuity Directive: A document developed and promulgated by Department of Homeland Security which directs Federal executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

Federal Emergency Management Agency: An agency of the U.S. Department of Homeland Security to coordinate the response to a disaster that has occurred in the United States and that overwhelms the resources of local and state authorities.

First Responder: Police, fire and rescue, and emergency medical personnel who first arrive on the scene of an incident and take action to save lives, protect property, and meet basic human

needs.

For Official Use Only: A document designation used by Department of Defense and a number of other federal agencies to identify information or material which, although unclassified, may not be appropriate for public release.

Government Emergency Telecommunications Service: Supports Federal, State, local, and tribal government, industry, and non-governmental organization (NGO) personnel in performing their National Security and Emergency Preparedness missions. GETS provides emergency access and priority processing in the local and long distance segments of the Public Switched Telephone Network (PSTN). It is intended to be used in an emergency or crisis situation when the PSTN is congested and the probability of completing a call over normal or other alternate telecommunication means has significantly decreased.

Homeland Security Advisory System: A series of tools used by DHS that provide the public with guidance on the status of the Nation's homeland security. The system combines threat information with vulnerability assessments, and communicates this information to public safety officials and the public.

Hot Site: A fully equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities, and other equipment necessary to fully support an organization's immediate work and data processing requirements in the event of an emergency or a disaster.

Improvement Plan: A cycle of events that incorporates evaluations, AAR's and lessons learned into the development and implementation of an IP.

Incident Action Plan: Formally documents incident goals, operational period objectives, and the response strategy defined by Incident Command during response planning. It contains general tactics to achieve goals and objectives within the overall strategy, while providing important information on event and response parameters.

Incident Command System: A standardized, on-scene, all-hazards incident management approach that:

- Allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.
- Enables a coordinated response among various jurisdictions and functional agencies, both public and private.

Recovery Time Objective: The period of time within which systems, applications, or functions must be recovered after an outage.

Relocation Site (Alternate Facility): The site where all or designated employees will report for work if required to move from the primary facility.

Risk Assessment/ Analysis: An evaluation of the probability that certain disruptions will occur and the controls to reduce organization exposure to such risk.

Staff: Those personnel, both senior and core, who provide the leadership, advice, recommendations, and functional support necessary to continue essential operations.

Staging Area: Temporary location for personnel, supplies, and/or equipment to enable positioning of, and accounting for, resources not immediately assigned.

Standard Operating Procedures: Protocol for the conduct of regular operations.

Survivable Communications: The establishment and maintenance of an assured end-to-end communications path during all phases of a nuclear event.

Telecommuting Locations: Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.

Telework: The ability to work at a location other than the official duty station, using portable computers, high-speed telecommunications links and mobile communications devices.

Test, Training, and Exercise Program: Measures to ensure that an organization's continuity plan is capable of supporting the continued execution of the organization's essential functions throughout the duration of a continuity situation.

Virtual Offices: A location or environment where employees use portable information technologies and communication packages to do their work.

Vital Records and Systems: Records or documents, regardless of media (paper, microfilm, audio or video tape, computer disks, etc.) which, if damaged or destroyed, would disrupt business operations and information flows and cause considerable inconvenience and require placement or re-creation at considerable expense.

Vulnerability Analysis: A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications

infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

Warm Site: An alternate processing site which is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is only capable of providing backup after additional provisioning, software or customization is performed.

Weapons of Mass Destruction: Weapons that are capable of killing a lot of people and/or causing a high-order magnitude of destruction, or weapons that are capable of being used in such a way as to cause mass casualties or create large-scale destruction. WMDs are generally considered to be nuclear, biological, chemical and radiological devices, but WMDs can also be high-explosive devices.

Work-at-home: When employees carry out their work duties at their residence rather than their official duty station.

CROSS REFERENCE

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 20 http://www.homeland.ca.gov/pdf/HSPD-20.pdf		
Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions. A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences. Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis. Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.	4.0 Human Capital Management

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 51

<http://www.fas.org/irp/offdocs/nspd/nspd-51.htm>

Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions. A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences. Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis. Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.	4.0 Human Capital Management
Definitions, (2), (i) AND Implementation Actions, (11), (A)	Government Functions that must be performed in order to support or implement the performance of Essential Functions before, during, and in the aftermath of an emergency. The continuation of the performance of Essential Functions during any emergency must be for a period of up to 30 days or until normal operations can be resumed.	5.0 Essential Functions

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	While an organization needs leaders, staff, communications, and facilities to perform its essential functions, it also needs well thought out and detailed plans for what to do with those key resources. Planning must include all of the requirements and procedures needed to perform essential functions.	1.6 Planning Responsibilities
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training, it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	2.0 Plan Implementation
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Risk management is the process to identify, control, and minimize the impact of uncertain events.	3.0 Risk / Vulnerability Assessment
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital	2) Agencies must provide guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event. 3) Agencies must implement a process to communicate the agency's operating status to all staff. 4) Agencies must implement a process to contact and account for all staff in the event of an emergency. 6) Agencies must implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help agencies continue essential functions during an emergency.	4.0 Human Capital Management
FCD 2, Policy, Number 5	Departments and agencies are to identify their Mission Essential Functions (MEF's) and the primary mission essential functions that support the MEF's and ensure that those functions can be continued through-out, or resumed rapidly after, a disruption of normal activities. The continuous performance of essential functions must be guaranteed with the right people, the right resources and the right planning.	5.0 Essential Functions
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital, Leadership and Staff	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. During a continuity event, emergency employees and other special categories of employees will be activated by an agency to perform assigned response duties.	6.0 Key Positions / Personnel

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note) (Cont'd)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Number 8, Pillar 3, Communications & Technology	All organizations must identify the communication requirements needed to perform their essential functions during both routine and continuity conditions.	14.0 Interoperable Communications
FCD 1, Elements of a Viable Continuity Capability, Number 9 (h), Test, Training and Exercise	Plan, conduct, and document periodic TT&Es to prepare for all-hazards continuity emergencies and disasters, identify deficiencies, and demonstrate the viability of continuity plans and programs. Deficiencies, actions to correct them, and a timeline for remedy must be documented in an organization's CAP.	15.0 Maintaining COOP Readiness
AND		
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training, it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	

* **Note:** Federal Continuity Directive 2 (FCD 2) implements the requirements of Federal Continuity Directive 1, ANNEX C.

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)

http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (g)	<p>An organization's continuity of operations program, plans, and procedures should incorporate existing organization-specific guidance and direction for human capital management. These can include guidance on pay, leave, work scheduling, benefits, telework, hiring, etc., authorities and flexibilities.</p> <p>Organizations should implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help organizations continue essential functions during an emergency.</p>	4.0 Human Capital Management
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (a) Essential Functions	<p>The identification and prioritization of essential functions is a prerequisite for continuity planning, because they establish the planning parameters that drive an organization's efforts in all other planning and preparedness areas.</p>	5.0 Essential Functions
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff	<p>Continuity of leadership during crisis, especially in the case of senior positions is important to reassure and give confidence that the principal position or person or appropriate successor is managing the crisis and ensuring the performance of essential functions. Leaders need to set priorities and keep focus.</p>	6.0 Key Positions / Personnel
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff AND Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (b)	<p>Continuity of leadership is critical to ensure continuity of essential functions. Organizations should provide for a clear line of succession in the absence of existing leadership and the necessary delegations of authority to ensure that succeeding leadership has the legal and other authorities to carry out their duties.</p> <p>Orders of Succession should be of sufficient depth to ensure that the organization can manage and direct its essential functions and operations throughout any emergency.</p>	7.0 Orders of Succession

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)
http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (e)	The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key leadership personnel, internal organization elements, federal and other non-federal entities, critical customers, and the public, during crisis and disaster conditions. The capabilities of communications and IT systems (e.g., secure and non-secure voice systems, video conferencing, and fax and other messaging capabilities) to be used during an incident should mirror those capabilities used during day-to-day operations, and the choice of communications and IT systems should consider how resilient those systems are and how capable they are of operating under conditions that may involve power or other infrastructure disruptions.	14.0 Interoperable Communications
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (h)	An effective TT&E program is necessary to assist organizations to prepare and validate their organization's continuity capabilities and program to perform essential functions during any emergency. This requires the identification, training, and preparedness of personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of organization essential functions.	15.0 Maintaining COOP Readiness

CONTINUITY GUIDANCE CIRCULAR 2 (Cont'd.)

http://www.fema.gov/pdf/about/org/ncp/coop/cont_guidance2.pdf

Location in Directive	Brief Description	Section in COOP Plan
Process Overview Section 3-1	The identification of essential functions is the first element in ensuring a viable and effective continuity capability. In support of this goal it is important that (1) MEFs are accurately identified and prioritized; (2) a continuity-focused Business Process Analysis (BPA) is conducted to explore the processes required to perform each MEF; and (3) a Business Impact Analysis (BIA) is conducted to evaluate the effect threats and hazards may have on the ability to accomplish MEFs. Based on these analyses, risk mitigation strategies should be developed and implemented to help ensure successful MEF performance during a disruption.	5.0 Essential Functions
Mission Essential Functions Section 3-2	Identification and prioritization of MEFs represent the basis for effective continuity planning. Prioritizing the MEFs helps focus the organization to ensure that the highest priority missions receive the appropriate effort first, particularly during a crisis when emergency resources may be limited.	



STATE OF HAWAII
DEPARTMENT OF TRANSPORTATION
700 Fort Street
Honolulu, Hawaii 96813-480



Reporting, Caring, and Managing of Contagious Persons from Maritime Sources into the State of Hawaii

Assessment, requirements and protocols used to report and manage passengers and crew who may transport viruses onto State-owned cruise terminals and piers

SITUATION / DISCUSSION

Harbor operations are not immune from the risks posed by contagions, be they H1/N1, SARS, MERS, Norovirus, or Ebola, to name a few.

More than 95% of consumer goods are shipped to Hawaii via cargo ships, some of which are operated by foreign crews or employ U.S. mariners that may have visited foreign ports or came into contact with foreign nationals.

Hawaii is also a destination for thousands of cruise ship passengers (and crews) every year. More than thirty-nine (39) ships visit Hawaii's commercial ports annually.

Cruise ship passengers and crew, both of whom travel from around the globe, are all potential carriers of a contagion. Direct flights have the propensity to move potential contagions quickly, and advances in medicine might subdue symptoms or prolong—albeit minimally—the effects, which mutes the ability for early detection.

The composition of passengers, many of who travel from distant locations, make them potential carriers of contagions that may be in a period of incubation, harboring illnesses that may not be readily apparent at the time of their embarkation.

As a result, passengers may begin to show symptoms during a cruise that might otherwise be regarded as seasickness, over exposure to sun, or perhaps fatigue.

As a tourist who invested a lot of energy, emotion and resources into the trip, the desire to dismiss, conceal or manage these symptoms (through medicine)—so as not to “spoil” a trip—may therefore delay the inevitable need to seek medical evaluation or treatment, or even report it to the ship's medical team.

However, symptoms may ultimately surface when the ill passenger disembarks and is subject to Hawaii's tropical temperatures or stands in a congested cruise terminal awaiting transportation. It is at that point where the effects of a contagion could reveal themselves in the form of a release of bodily fluids, namely: vomit, diarrhea, sneezing or other manifestations. This may occur on the gangway, the cruise terminal, a restroom, or a queue line for a tour.

At Hawaii's commercial harbors, and particularly the passenger cruise terminals, measures are in-place to mitigate risks, but there are gaps—primarily due to a limited ability to detect symptoms and a reliance on self reporting by passengers (or crew) to report their conditions.

Notwithstanding, physical and administrative controls are in-place to prevent the introduction and/or mitigate the spread of contagions to the local population within State Harbors' facilities.

DOT HARBORS' APPROACH TO MANAGING RISK

Harbors' recognizes a layered approach, as follows:

- ALL VESSELS:
 - Vessels employing Foreign Nationals: Oahu Harbormaster Notice 3-14 describes the requirements for reporting illnesses to Federal authorities.
 - U.S. Federal requirements stipulate that owners, operators, masters, and operators report illnesses or any "hazardous condition" onboard a vessel.
 - USCG reviews all Notices of Arrival to determine if a vessel has visited any of the countries identified by the CDC.
 - Vessel owners/operators have the ability to ascertain—to the extent reported by crew—the last ports of call within a 21-day period prior to joining the ship's crew.

- PASSENGER CRUISE SHIPS:
 - The "Vessel Sanitation Program" (VSP), operated by the CDC and cruise line industry promotes the use of advance reporting and best management practices to prevent & control the introduction, transmission, and spread of GI illnesses. In practice, the practices also help prevent the spread of other contagions.

 - VSP is a joint effort by the CDC and cruise line industry to prevent & control the introduction, transmission, and spread of GI illnesses on cruise ships. [VSP operates under the authority of the Public Health Service Act (42 U.S.C. Section 264 Quarantine and Inspection Regulations to Control Communicable Diseases), and is part of the National Center for Environmental Health's Division of Emergency and Environmental Health Services.]
 - Cruise ships participating in the VSP are required to report the total # of GI illness cases—including zero—evaluated by the medical staff before the ship arrives at a U.S. port, when sailing from a foreign port.

 - A separate notification is required when GI illness count exceeds 2% of the total number of passengers or crew onboard.

 - Under Federal Reporting Requirements, ships must report infections and illnesses to authorities at the CDC, who in-turn, notify other Federal and State authorities.

 - DOT Harbor's partners with passenger cruise ships to conduct supplemental cleaning and sanitation of shoreside restroom facilities when a contagion is suspected.

 - DOT Harbors' personnel implement contagion protocols within the passenger terminal when a contagion is suspected.
 - Sanitation personnel are trained in preventing the transmission of blood borne pathogens, and they follow established protocols for using PPE (as recently updated to reflect the CDC's latest guidance on dealing with Ebola).

REFERENCES / TECHNICAL AUTHORITIES

U.S. regulations (42 CFR 71.21(a)) require the master of a ship destined for a U.S. port of entry to immediately report any death or illness among the ship's passengers or crew. This includes persons who have disembarked or have been removed from the ship due to illness or death.

- Reporting method applies to all vessel types and reporting source, including cruise ships and cargo ships as well as shipping agents and USCG [See NOTE 1].
- Completed via e-mail, fax or phone.
- Reported on Maritime Conveyance Illness or Death Investigation Form

Reports must *immediately* be made to the CDC Quarantine Station at or nearest the U.S. port of arrival. For ships arriving in the U.S., this includes all deaths or illnesses that occurred within 15 days prior to arrival. For ships that have left the U.S. and returning to a U.S. port during the same voyage, this includes all deaths or illnesses that occurred within 15 days of departure.

REPORTING PARAMETERS FOR PASSENGER CRUISE SHIPS & CARGO SHIPS –

Required Reporting

According to Federal regulations, ill persons displaying any of the following signs and symptoms must be reported to CDC:

- **Quarantinable Diseases** (suspected or confirmed) listed in the **President's Executive Order (G.W. 2003): cholera, diphtheria, infectious TB, plague, smallpox, yellow fever, viral hemorrhagic fevers, severe acute respiratory syndromes, & novel influenza viruses.**
- **Signs and symptoms of public health interest:**
 - Fever (a temperature of 100° F [37.8° C] or greater) lasting more than 48 hours
 - Fever + rash
 - Fever + swelling of the lymph glands
 - Fever + jaundice (yellowing of the skin or eyes)
 - Diarrhea (3 or more loose stools, or "greater than normal" number of loose stools in 24-hour period)

Requested Reporting

- Signs and symptoms of public health interest for which CDC requests include:
 - Fever* + difficulty breathing or suspected/confirmed pneumonia
 - Fever + persistent cough or cough with bloody sputum
 - Fever + headache with neck stiffness
 - Fever + reduced level of consciousness
 - Fever + unexplained bleeding
 - Fever + persistent vomiting

Method of Conveying Report - e-mail, fax or phone (CDC quarantine station)

GENERAL STRATEGY FOR HANDLING CONTAGIONS

Early detection through surveillance and reporting is the preferred approach to managing any potential contagions. This is conducted primarily through the mandatory reporting of death and illness of suspected infected persons.

Once a suspected infected is identified, the State Department of Health has established a three-point approach to diagnosing and managing the care of the situation, as follows:

- 1) Sequester any suspected infected person(s) in a cruise ship cabin or cargo ship stateroom,
- 2) Obtain contact information for [otherwise healthy] passengers or crew; and
- 3) Contact Public Health Officials (i.e., State DOH, CDC, CBP) for follow-on evaluation.

TAILORED APPROACHES TO HANDLING CONTAGIONS

Depending on the type of vessel service (See Hazard Assessment – Ways for Contagions to Enter Maritime Environment), various constituencies and stakeholders may be at-risk.

- For instance, a passenger cruise line may have an extensive network of regulatory and medical professionals, a robust system of medical personnel onboard, and active ship agents—all working together to ensure the reporting requirements are met; ships are adequately crewed and managed; and resources are in place to address any risk.
- On the other hand, cargo shipping comes in all shapes and sizes. They fill all manner of niche markets and travel assorted routes to remote and foreign ports. Due to the competitive nature of the industry, cost pressures can be significant and have the effect of minimizing overhead, including those who might otherwise provide medical advice, and support a robust surveillance and reporting regime. Professional mariners also typically traverse the globe and may travel long distances as they move from job to job.
- In the same way, commercial fishing vessels are oftentimes run by families or small businesses. For the same reason as their larger counterparts in cargo shipping, they too may have low overhead to compete in a homogenous industry.

As a result, Harbors' outreach and engagement with Federal and State authorities, the maritime industry, vessel crews and their representatives as well as those with whom they interact, are necessarily tailored.

PASSENGER CRUISE SHIPS & TERMINALS

During check-in (and prior to embarkation), some cruise lines are adopting or contemplating their screening of passengers that involves sequestering potential infected and a non-invasive examination by a physician prior to referring to **Public Health Officials for follow-on evaluation**.

Prior to arrival (or return) to the port, if the cruise line reports an unusual rate of illness, ground transportation providers and stevedores are advised beforehand of the possibility that passengers may be ill. As a result, transportation providers and stevedores “glove-up” by donning protective gloves in preparation for the offload of cruise passengers and baggage.

DISPOSAL OF MEDICAL WASTE

On Oahu, the State DOH is ascertaining appropriate waste streams for disposing of contaminated items. They include the following:

- Hawaii Bio Waste
 - (808) 841-1240

- NCNS Environmental
 - (808) 847-7875

ACKNOWLEDGEMENTS:

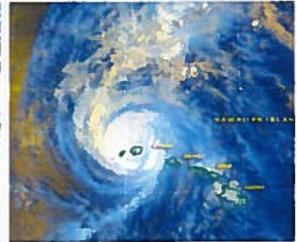
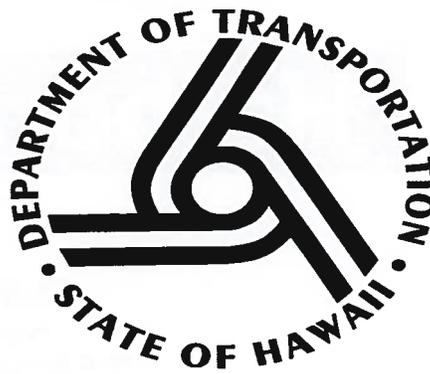
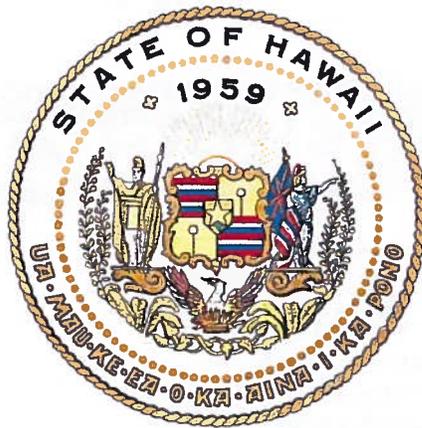
1. This guide was made possible through the assistance and cooperation of various Federal and State agencies, and particularly: U.S. Centers for Disease Control, U.S. Customs & Border Protection, State of Hawaii Department of Health.
2. Given the growing body of knowledge and awareness on the subject of biologicals, this guide is expected to undergo changes. As such, interested persons are encouraged to contact the author for the latest version.

NOTES:

1. CDC changed its reporting method in March 2014 so all vessel types (including cargo ships, shipping agents, and USCG) could report using a new method. The former system, the Maritime Illness and Death Reporting System (MIDRS), was available only to cruise ships. The new method also reduces the burden on cruise ships for duplicate reporting.
2. CDC's Vessel Sanitation Program (VSP) still uses MIDRS to collect GI reports from cruise ships.
3. DGMQ = CDC Division of Global Migration and Quarantine, who manages reporting forms by vessel owners, agents and representatives.
4. *RelyOn* is a multipurpose disinfectant commercial cleaner for large-scale disinfection of hard non-porous surfaces, with no fumes or offensive odor. Effective against Hepatitis A, B, and C, HIV, MRSA, VRE, Norovirus, Influenza A Virus, and Avian Influenza A Virus.

CONTINUITY OF OPERATIONS PLAN (COOP)

DEPARTMENT OF TRANSPORTATION HARBORS DIVISION



MARCH 2012

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All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. and state statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4 and 6 and the Hawaii Uniform Information Practices Act. This document is to be used to implement the State of Hawaii, hereafter referred to as "State", Continuity of Operations (COOP) Plan and contact government personnel in response to an emergency affecting the State. Unauthorized use of this information may constitute an invasion of privacy.

FOREWORD

The DOT, Harbors Division has essential operations and functions that must be performed, or rapidly and efficiently resumed, in a disaster or national emergency. Emergency events can quickly interrupt, paralyze, and/or destroy the ability of the DOT, Harbors Division to perform these essential operations. While the impact of these emergencies cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities, our services, and our mission.

The State, along with its officials and departments/agencies/offices, has prepared a comprehensive and effective COOP Plan to ensure that essential operations can be performed during an emergency situation that may disrupt normal operations. This plan was developed to establish policy and guidance to ensure the execution of mission essential functions and to direct the relocation of personnel and resources to a continuity facility capable of supporting operations. The plan outlines procedures for alerting, notifying, activating, and deploying personnel; identifying the mission essential functions; establishing a continuity facility; and identifying personnel with authority and knowledge of these functions.

DISTRIBUTION LIST

Distribution of the full version of this COOP Plan, which may contain sensitive information, will be restricted to essential personnel governed by a need-to-know basis.

All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4, and 6.

DISTRIBUTION LIST	
Plan Holder	
1	Civil Defense
2	Department of Transportation
3	
4	
5	
6	

General (G) Distribution

General distribution of selected unclassified sections of the COOP Plan may be issued to all employees to ensure a high level of readiness. Distribution methods may be a combination of the local department's/agency's/office's instructional letters, employee bulletins, or other internal memoranda.

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1.0 INTRODUCTION

1.1 *Introduction*

The key purpose of COOP planning is to reduce the consequences of a disaster to acceptable levels. Although when and how a disaster will occur is not known, the fact that future disasters will happen is certain. A COOP Plan is designed and implemented to establish response, recovery, resumption, and restoration procedures.

1.2 *Purpose*

This COOP Plan for the State presents a management framework, establishes operational procedures to sustain essential activities if normal operations are not feasible, and guides the restoration of the government's full functions. The plan provides for attaining operational capability within 12 hours and sustaining operations for 30 days or longer in the event of a catastrophic event or an emergency affecting the State.

The primary objectives of this plan are to:

- Ensure the continuous performance of the essential functions during an emergency
- Protect essential facilities, equipment, vital records, and other assets
- Reduce or mitigate disruptions to essential functions
- Assess and minimize damage and losses
- Facilitate decision-making during an emergency
- Achieve a timely and orderly recovery from an emergency and resumption of full service to customers

The COOP planning program's characteristics are:

- Capable of being maintained at a high level of readiness
- Capable of implementation with or without warning
- Able to achieve operational status no later than 12 hours after activation
- Able to sustain essential functions for up to 30 days
- Designed to take maximum advantage of existing department/agency/office infrastructures

1.3 *Applicability and Scope*

The departments/agencies/offices to which this COOP Plan applies are:

- Civil Defense
- Department of Transportation

The emergency conditions, events, and situations (sometimes referred to as "triggers") under which this COOP Plan would be implemented include:

- State facilities are down but the rest of the facilities are functioning normally
- State facilities are down, and other critical services are down (e.g., electricity, water, etc.)
- All facilities are down due to natural causes and/or
- All facilities are compromised due to man-made events (e.g., a terrorist attack)

1.6 Planning Responsibilities

Responsibility for COOP planning resides with the highest level of management of the department/agency/office involved. The chief elected official of the State is ultimately responsible for the continuation of essential services in an emergency and, consequently, for the related planning.

The department/agency/office head has several COOP planning responsibilities including, but not limited to, the following:

- Appointing a department/agency/office COOP Coordinator
- Developing a COOP Multi-Year Strategy and Program Management Plan
- Developing, approving, and maintaining COOP Plans for all components of the department/agency/office
- Coordinating COOP planning efforts and initiatives with policies, plans, and activities related to critical infrastructure protection
- Training the department's/agency's/office's staff for their COOP responsibilities
- Participating in periodic COOP exercises
- Notifying appropriate outside parties (e.g., the Governor) when COOP Plans are activated

The department/agency/office head may delegate tasks but will continue to regularly monitor and be updated on COOP Team efforts. There will be close coordination between the department's/agency's/office's management and the team responsible for COOP planning.

Table 1 lists the names, designated positions and the responsibilities of the personnel who are responsible for COOP planning.

1.7 Concept of Operations

An effective concept of operations describes the four phases of COOP Plan execution:

1. Readiness and preparation
2. Activation and relocation
3. COOP
4. Reconstitution

Note: See Plan Implementation Section.

The State provides comprehensive governmental functions and services focused on the creation, growth, and livelihood of critical infrastructure, economy, and community. Through inter- and intra-department/agency/office relationships, the State will provide critical and/or essential functions and services to ensure that lives, property, and economy are protected during and after a natural, man-made, or technical disruption or disaster.

The State is committed to ensuring that each of its citizens have peace of mind in knowing that if a disaster strikes their community, the State will continue critical and/or essential government functions using available facilities and personnel.

The State is dedicated to its citizens and business communities, and will always be ready to protect our public resources, our governmental services, and our regulatory powers so that in the event of a disaster, the State will experience minimal or no disruption.

1.8 Mission Statement

[Mission Statement of Department/Agency/Office Plan]

- Incident Command — Determine objectives and establish priorities based on the nature of the incident
- Planning Section — Develop the Incident Action Plan (IAP) to accomplish these objectives; collect and evaluate information and maintain status of assigned resources
- Operations Section — Develop the tactical organization and direct all resources to carry out the incident action plan
- Logistics Section — Provide resources and all other services needed for support, including transportation, food and lodging requirements
- Finance/Administrative Section — Monitor costs related to the incident, providing cost analysis and overall fiscal guidance to include procurement and time recording
- Legal Officer — Provide guidance on the legal and liability implications with COOP and Continuity of Government Plan activation

2.3 Phase 3: Continuity of Operations

This phase includes the following activities to continue essential functions:

- Account for all department/agency/office personnel
- Conduct essential functions (which depend on the situation)
- Establish communications with supporting and supported department/agency/office, and when and if directed to do so by the Governor and/or via this department/agency/office, the community
- Conduct recovery activities as needed, coordinated through this department/agency/office and other departments/agencies/offices with the required personnel expertise, (e.g. Department of Transportation), etc.

Plans or procedures include:

- Reception, in-processing, and accounting for COOP personnel
- Transition of responsibilities to the deployed continuity personnel
- Guidance for non-deployed personnel
- Identification of replacement personnel and augmentees, as necessary
- Execution of all essential functions at the continuity facility
- Activation of processes and procedures to acquire the resources necessary to continue essential functions
- Notification of the adjacent departments/agencies/offices, and, when and if directed to do so by the Governor via this department/agency/office, the community of COOP activation and status
- Redeployment plans for phasing down continuity facility operations and returning essential functions, personnel, records, and equipment to the primary or other operating facility when appropriate

3.0 ASSESSMENT

3.1 *Risk Assessment*

Hazard or threat identification and vulnerability assessment combine probabilities of event occurrence (e.g., earthquake, hurricane, tsunami, etc.) with factors relevant to the specific site (e.g., location, operational, and structural characteristics) to determine the risk of a given threat at a site. Risk is the predicted impact that a hazard might have on people, services, and facilities within a department/agency/office.

Listed in Table 2, in priority order, are the hazards that could occur in the State. The probability of occurrence (in terms of highly likely, medium chance of occurrence, and low possibility of occurring) is listed for each hazard.

3.2 *Vulnerability Assessment* **Secondary Hazards and Threats**

Hazards and threats from a secondary source were considered. Neighboring departments/agencies/offices or facilities were considered if they housed materials or performed operations that generate hazards or threats for the department/agency/office. While there is no direct control over this type of hazard or threat, the site vulnerability may be higher.

Physical Security

A Site Vulnerability Analysis typically considers problems relating to the location of the facility in question. The Vulnerability Analysis may reference the risk of demonstrations, acts of terrorism, and crime rates in the immediate area. In addition, the Analysis may discuss the current protection methods used such as camera systems, guards, and access control systems.

Physical security design and assessment considers mechanical, electronic, and computer issues in addition to the building, and the department/agency/office function or location-related threats and hazards. Topics ranging from locking systems and updated standards to screening and detection equipment were included in the Vulnerability Analysis.

4.0 HUMAN CAPITAL MANAGEMENT

4.1 *Employee Dismissal or Building Closure Procedures*

Employee dismissal is per the Governor's Office and Department of Human Resources Development.

4.2 *Established Methods of Employee Communications*

Employee communications are conducted through a phone tree for the department/agency/office.

4.3 *Procedures for Making Media Announcements*

Media announcements during an emergency will be made through the Deputy Director (Public Information Officer) in conjunction with the Governor's Office, Director of Communications.

4.4 *Pay and Benefit Issues*

The Department of Accounting & General Services will be in control of all pay roll. Interpretation of pay and benefit authorities for all department/agency/office employees will be addressed to the Department of Human Resources Development.

5.0 ESSENTIAL FUNCTIONS

The department/agency/office has identified the essential functions that enable it to provide vital services, exercise civil authority, maintain the safety and well-being of the general population, and sustain the industrial and economic base in an emergency. Essential functions provide the basis for COOP planning.

The essential functions are prioritized according to those activities that are pivotal to resuming operations when a catastrophic event occurs. Prioritization is determined by the following:

- Time criticality of each essential function
- Sequence for recovery of essential functions and their critical processes

Note: An essential function's time criticality is related to the amount of time that function can be suspended before it adversely affects the department's/agency's/office's core mission. Time criticality can be measured by either recovery time or recovery point objectives. The Recovery Point Objective (RPO) is more specific to information systems. It is the amount of data that can be lost measured by a time index. Not all processes have RPOs, and some processes can have both a RPO and an RTO.

Essential functions and their supporting processes and services are intricately connected. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services that are necessary to assure continuance of an essential function are considered critical. Often, the processes and services deemed critical vary depending upon the emergency or if they have a time or calendar component.

Table 3 is a prioritized order of the essential functions within the department/agency/office. For each essential function listed, their critical dependencies (supportive processes or services) and their RTO are provided.

ESSENTIAL FUNCTIONS, DEPENDENCIES AND RECOVERY TIME OBJECTIVES

Priority	Essential Function	Supportive Processes or Services / COOP Strategy	Supporting Departments/Agencies/Offices	Recovery Time Objective (RTO)
2.	Maintain the safety of the operating facilities (harbors) to support the Maritime industry - transportation of goods	<ul style="list-style-type: none"> • Harbors personnel and communications (resources) to maintain communications with State and Federal Agency's • Power, water, fuel • Clean up debris • Secure harbor 	<ul style="list-style-type: none"> • Harbors Division • Utility companies and vendors for fuel • Joint Harbors Division and US Coast Guard/Army Corp of Engineers plus other federal support (in water). Harbor Division if debris is on land, depending upon location of debris. • Vendor (contract security for each district and major tenants) 	Immediate
3.	Maintain the structural integrity of piers	<ul style="list-style-type: none"> • Structural Engineers • Divers • Power, water, fuel 	<ul style="list-style-type: none"> • Harbors Division • Vendors • Utility companies and vendors for fuel • Vendor (contract security for each district and major tenants) 	Immediate
4.	Maintain vessel traffic control regarding who comes in to harbor and where they berth	<ul style="list-style-type: none"> • Harbors personnel and radio • Computer system (CIDS) 	<ul style="list-style-type: none"> • Harbors Division • DOT Administration (Servers) 	Immediate
5.	Maintain fiscal and financial operations	<ul style="list-style-type: none"> • Harbors personnel • Computer system (CIDS) • DAGS FAMIS 	<ul style="list-style-type: none"> • Harbors Division • DOT Administration • DAGS ICSD 	2 to 3 days

Table 4 Key Personnel

KEY POSITION / PERSONNEL			
Essential Function	Name, Title, Address	COOP Role	Contact Information
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	District Manager for each island	Primary position/personnel for Essential Function	Work: (See Division Contact Listing) Home: Cell: Alt. phone or email:
Maintain the safety of the operating facilities (harbors) to support the Maritime industry - transportation of goods	District Manager for each island	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Maintain the structural integrity of piers	Engineering Program Manager	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Maintain vessel traffic control regarding who comes in to harbor and where they berth	District Manager for each island	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:
Maintain fiscal and financial operations	Administrative Service Officer	Primary position/personnel for Essential Function	Work: Home: Cell: Alt. phone or email:

Table 5 Orders of Succession

ORDERS OF SUCCESSION					
Essential Function	Key Position / Personnel	Successor 1 (By position)	Successor 2 (By position)	Successor 3 (By position)	Condition for Succession
Maintain the <u>security</u> of the operating facilities (harbors) to support the Maritime industry - transportation of goods	District Manager for each island	Oahu – Commercial Harbor Manager	Facility Security Officer	Harbor Operations Supervisor (Relief)	Incapacitation or absence of key position/personnel
Maintain the <u>safety</u> of the operating facilities (harbors) to support the Maritime industry - transportation of goods	District Manager for each island	General Professional IV	Facility and Maintenance Superintendent	None	Incapacitation or absence of key position/personnel
Maintain the structural integrity of piers	Engineering Program Manager	Maintenance Engineer	Civil Engineer V	Civil Engineer V	Incapacitation or absence of key position/personnel
Maintain vessel traffic control regarding who comes in to harbor and where they berth	District Manager for each island	Oahu – Commercial Harbor Manager and General Professional IV	Marine Cargo Specialist	None	Incapacitation or absence of key position/personnel
Maintain fiscal and financial operations	Administrative Service Officer	Fiscal Officer	Accountant V	Accountant	Incapacitation or absence of key position/personnel

Table 6 Delegation of Authority

DELEGATION OF AUTHORITY – SUCCESSOR 1							
Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations

DELEGATION OF AUTHORITY – SUCCESSOR 1

Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
berth Maintain fiscal and financial operations	Fiscal Officer	Limited	Administrative	Incapacitation or absence of key position/personnel	Rules State Procurement Rules Harbor Administrative Rules Other state laws Federal Codes (for FEMA reimbursement)	Department Staff Manual State Procedures (DAGS)	Approval and limited procurement authority

DELEGATION OF AUTHORITY – SUCCESSOR 2

Essential Function	Successor Position 2	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Facility Security Officer	Limited	Administrative	Incapacitation or absence of 1 st successor position/personnel	State Procurement Rules Harbor Administrative Rules 33CFR Parts 103-105	Department Staff Manual	No procurement authority
Maintain the safety of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Facility and Maintenance Superintendent	Limited	Administrative	Incapacitation or absence of 1 st successor position/personnel	State Procurement Rules Harbor Administrative Rules OSHA Standard	Department Staff Manual	Limited procurement authority
Maintain the structural integrity of piers	Civil Engineer V	Limited	Emergency	Incapacitation or absence of 1 st successor position/personnel	State Procurement Rules Harbor Administrative Rules Uniform Building Code	Department Staff Manual	No signature authority for procurement
Maintain vessel traffic control regarding who comes in to harbor and where they	Marine Cargo Specialist	Limited	Administrative	Incapacitation or absence of 1 st successor position/personnel	State Procurement Rules Harbor Administrative	Department Staff Manual	No procurement authority

Table 6 Delegation of Authority

DELEGATION OF AUTHORITY – SUCCESSOR 3							
Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations

DELEGATION OF AUTHORITY – SUCCESSOR 3

Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Maintain vessel traffic control regarding who comes in to harbor and where they berth	None	N/A	N/A	N/A	reimbursement) N/A	N/A	N/A
Maintain fiscal and financial operations	Accountant	Limited	Emergency	Incapacitation or absence of 2 nd successor position/personnel	State Procurement Rules Harbor Administrative Rules Other state laws Federal Codes (for FEMA reimbursement)	Department Staff Manual State Procedures (DAGS)	No procurement authority

Table 7 Devolution of Direction and Control

DEVOLUTION OF DIRECTION AND CONTROL						
Essential Function	Department/Agency/ Office to Transfer Essential Function	Roster of Trained Staff	Trigger for Devolution	Equipment and Supplies Needed	Procedures for Acquiring Supplies	Trigger for Reconstitution
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	US Coast Guard (water) or State Department of Defense (land)	Yes	Harbors Division is demolished	Cargo Yard clearing equipment	DOD or Contractors	Recovery or rehiring of trained staff.
Maintain the safety of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Department of Defense (land)	Yes	Harbors Division is demolished	None	None	Recovery or rehiring of trained staff.
Maintain the structural integrity of piers	Army Corp of Engineers/US Coast Guard (for request)	Yes	Harbors Division is demolished	None	None	Recovery or rehiring of trained staff.
Maintain vessel traffic control regarding who comes in to harbor and where they berth	US Coast Guard	Yes	Harbors Division is demolished	Pilots Tug Captains	Bring to sea	Recovery or rehiring of trained staff.
Maintain fiscal and financial operations	DOT Administration	Yes	Harbors Division is demolished	None	None	Recovery or rehiring of trained staff.

Table 8 Vital Records and Databases

VITAL RECORDS AND DATABASES					
Essential Function	Vital Records and Databases	Form of Record (e.g., hard copy, electronic)	Pre-Positioned or Hand Carried	Storage Location(s)	
Maintain the <u>security</u> of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Facility's Security Plan	Hard copy/electronic	Hand carry/Pre-Positioned	Harbor District Offices	
Maintain the <u>security</u> of the operating facilities (harbors) to support the Maritime industry - transportation of goods	TWIC database	Electronic	Pre-Positioned	Harbor District Offices	
Maintain the structural integrity of piers	None	N/A	N/A	N/A	
Maintain vessel traffic control regarding who comes in to harbor and where they berth	Plans, files, records	Hard copy/electronic	Hand carry/Pre-Positioned	Harbor District Offices and 869 Punchbowl St.	
Maintain fiscal and financial operations	CIDS	Hard copy	Hand carry	Harbor District Offices	
	CIDS	Hard copy/electronic	Hand carry/Pre-Positioned	Harbor District Offices	

Table 9 System and Equipment

SYSTEM AND EQUIPMENT				
Essential Function	System and Equipment	Type of System and Equipment	Pre-Positioned or Hand Carried	Storage Location(s)
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Honolulu Harbor Command Information Surveillance System	System	Pre-Positioned	Pier 2 (web based)
Maintain the safety of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Heavy equipment	Equipment	Hand carry	Harbor District Offices
Maintain the structural integrity of piers	DOT Content Management System (CMS)	Electronic	Pre-Positioned	869 Punchbowl Street
Maintain vessel traffic control regarding who comes in to harbor and where they berth	Computer system (CIDS)	Electronic	Pre-Positioned	869 Punchbowl Street
Maintain fiscal and financial operations	<ul style="list-style-type: none"> • Computer system (CIDS) • DAGS FAMIS 	Electronic	Pre-Positioned	869 Punchbowl Street DAGS

Table 10 Critical Vendors

CRITICAL VENDORS			
Essential Function	Vendor (Name & Address)	Contact Information (Point of Contact Phone & Email)	Services Provided
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Contract Security (various)	Vary	Security only (unarmed)
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Various construction vendors	Vary	Debris removal, physical repairs
Maintain the structural integrity of piers	Various structural engineer/underwater surveyor and dive company's on contract	Vary	Structural integrity/repair and divers for underwater survey
Maintain vessel traffic control regarding who comes in to harbor and where they berth	None	N/A	N/A
Maintain fiscal and financial operations	eWorld Address	Point of Contact Phone & Email	CIDS System support

Table 11 Continuity Facility

CONTINUITY FACILITY					
Essential Function	Continuity Facility (Name & Address)	Number of Employees Required	Logistical Supports Required	Resources and Infrastructure Required	
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Temporary District Office	2	Computer systems for each employee to network into the DOT Administration Server	Personnel, food, utilities	
Maintain the security of the operating facilities (harbors) to support the Maritime industry - transportation of goods	Temporary District Office	2	Computer systems for each employee to network into the DOT Administration Server	Personnel, food, utilities	
Maintain the structural integrity of piers	Temporary District Office	25	Computer systems for each employee to network into the DOT Administration Server and Internet capability	Personnel, food, utilities	
Maintain vessel traffic control regarding who comes in to harbor and where they berth	Temporary District Office	3	Computer systems for each employee to network into the DOT Administration Server	Personnel, food, utilities	
Maintain fiscal and financial operations	Temporary District Office	6	Computer system for each employee to network into the DOT Administration Server and DAGS Server	Personnel, food, utilities	

Table 12 Interoperable Communications

INTEROPERABLE COMMUNICATIONS				
Communication System Needed in Continuity Facilities	Current Provider	Alternative Provider	Alternative Mode 1	Alternative Mode 2
Landlines	Hawaiian Telecom		Personal Cell Phones	Text Messaging
Issued Cell Phones	Various	Various		
Internet				
Department Email	Lotus Notes		Personal Emails	Text Messaging
Department Website				
Hand-held radios/radios in vehicles	Pacific Wireless Communications	None	Personal Cell Phones	Text Messaging
Satellite phone (13)	Airport Division			

Note: Notifications to the community pertaining to the emergency situation and/or each department/agency/office during an emergency will be conducted via the appropriate medium, (e.g., PIO) announcements and/or when instructed, answering machine message at the department/agency/office level).

Each annual exercise will build upon the previous year's exercise, resulting in a full-scale exercise. This full-scale exercise will occur every fifth (5th) year.

This department/agency/office will facilitate the After Action Report (AAR) meeting. This meeting will be conducted within 30 days of an exercise or full-scale COOP activation. Within 60 days of conducting the meeting, this department/agency/office will publish the AAR.

For department/agency/office COOP activations, the department/agency/office affected will be responsible for conducting the AAR meeting and publishing the AAR within the allotted timeframe.

Exercise Schedule

Testing and exercise plans for COOP will include:

- Internal testing/exercising of COOP Plans and procedures
 1. As changes occur
 2. Upon implementation of the department/agency/office COOP Plan, with after actions and lessons learned,
 3. At least annually to ensure the ability to perform essential functions and operate from designated continuity facilities and work sites
- Testing of alert and notification procedures and systems for any type of emergency at least quarterly
- Joint department/agency/office exercising of COOP Plans, where applicable and feasible

15.3 Multi-Year Strategy and Program Management Plan

It is effective to maintain COOP capabilities using a multi-year strategy and program management plan. Such a management plan outlines the process(es) to be followed in designating essential functions and resources, defines short and long-term COOP goals and objectives, forecasts budgetary requirements, anticipates and addresses issues and potential obstacles, and establishes planning milestones.

15.4 COOP Plan Maintenance

The plan will be reviewed and updated at least annually, or whenever necessary, to reflect changes in the department/agency/office, essential functions, procedures, or contact information. Changes to the plan will be noted in the Revision Record provided in the Foreword. The COOP Program Management Team (Table 1) is responsible for ensuring that the plan is reviewed and updated.

The COOP Program Management Team is also responsible for the following:

- Addressing and resolving COOP Plan policy issues
- Advising the department/agency/office head on COOP-related matters
- Coordinating among related plans
- Conducting training, testing, and exercises
- Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Event Development and Planning (Cont'd)				
9.	Develop documentation/materials required to support event in accordance with approved schedule: <ul style="list-style-type: none"> • Concept & Objectives Paper • Event Plan • Evaluation Plan • Agenda • Slides • Participant Observation Form/Critique Form • Handouts/Participant Packets • Facilitator Books 			
10.	Add other documents/materials as required based on nature of event. <ul style="list-style-type: none"> • Coordinate with guest speakers and presenters, if applicable • Provide copy of approved agenda • Advise them of their allocated briefing/presentation timeframe • Request copies of their materials for inclusion in briefing slides and participant packet and indicate suspense date for these • Request list of their equipment/supply requirements and indicate suspense date for these • Provide lodging/billeting information, if applicable • Provide directions/map to training location, if applicable • Obtain speaker biography for introduction at the event 			
11.	Confirm space and dates with training location point of contact (POC)			
Administration				
1.	Create attendee list/roster <ul style="list-style-type: none"> • Update list as necessary • Forward all updates to other applicable POCs for administration, event site, transportation, security, and IT/communications, as applicable 			
2.	Create list of individuals requiring lodging/billeting			
3.	Complete and submit travel authorizations, if applicable			

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Site Logistics				
1.	Coordinate with building POC at event site/visit site before event <ul style="list-style-type: none"> • Determine existing equipment and resources • Identify any additional equipment and resources that will be required. Provide list of requirements and supplies to building POC • Determine best room layout/arrangement based on agenda and number of attendees • Determine if location is accessible to participants with disabilities if applicable 			
2.	Coordinate with cafeteria/food service POC at the training site, if applicable			
3.	Coordinate with billeting/lodging POC at event site <ul style="list-style-type: none"> • Forward copy of updated attendee lists as received • Obtain information (e.g., cost and location) on alternative lodging options if necessary 			
Transportation				
1.	Determine if transportation to training site is required. If so: <ul style="list-style-type: none"> • Determine number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC • Devise transportation schedule (i.e., marshalling point, departure time from marshalling point, return schedule) in coordination with site transportation POC 			
2.	Determine if on-site transportation is required. If yes: <ul style="list-style-type: none"> • Determine when transportation will be required and number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC 			

APPENDIX B: COOP DRIVE AWAY KITS

Drive-away kits are packages of records, information, communication, and computer equipment and other items or material related to an emergency operation to be used by those deployed to continuity facilities. A drive-away kit should be prepared and maintained in up-to-date condition for each member of the COOP team for response to any incident. The kit should contain those items essential to supporting the team member's operations at the continuity site. Each kit may be unique, but most should include items such as COOP checklists, key contact lists, electronic storage media, and files specific to the member's position, specialized tools, and maps to the continuity facility.

Consideration should be given to the possibility that an employee may not be able to access the drive-away kit at the time of an emergency. For example, an employee might be away from the department/agency/office at the time an event rendered it unusable and, thus, unable to return to retrieve the drive-away kit. It is prudent to take action to address such situations before an emergency occurs, such as storing drive-away kits in the employee's home or car, or pre-positioning important resources at the continuity facility.

The following are examples of items that may be included in Drive-Away kit:

- Department/agency/office COOP Plan;
- Identification and Charge Cards:
 - DHS ID Card;
 - FEMA ID Card;
 - Driver's License;
 - Government Travel Card;
 - Health Insurance Card; and/or
 - Personal Charge Card.
- Communication Equipment:
 - Pager/BlackBerry;
 - Government Cell Phone;
 - Personal Cell Phone;
 - Government Phone Card;
 - GETS Card; and/or
 - Personal Long-Distance Phone Card.
- Medical Needs:
 - Insurance Information;
 - List of Allergies/Blood Type;
 - Hearing Aids and Extra Batteries;
 - Glasses and Contact Lenses;
 - Extra Pair of Glasses/Contact Lenses;
 - Prescription Drugs;
 - Over-the-Counter Medications; and/or
 - Dietary Supplements, etc.
- Postage Stamps and Personal Stationary;
- Cash for Miscellaneous Expenses (including coins for vending machines);

APPENDIX C: GLOSSARY OF TERMS/ACRONYMS

Advance Team: A working group responsible for coordinating the activities associated with relocation planning and deployment of essential operations and positions during a COOP event.

After-Action Report: A narrative report that presents issues found during an exercise or an incident and recommendations on how those issues can be resolved.

Alternate Communications: Communication methods that provide the capability to perform minimum essential department or office functions until normal operations can be resumed.

Alternate Database/Records Access: The duplication and/or backup of vital resources and records, and the ability to access such resources and records in the event that the COOP Plan is put into effect.

Alternate Facilities/Work Site: A location, other than the normal facility, used to conduct critical functions and/or process data in the event that the primary facility is inaccessible or damaged. The alternate site provides the capability to perform minimum essential department or office functions until normal operations can be resumed.

Application Recovery: The component of IT Disaster Recovery which deals specifically with the restoration of business system software and data, after the processing platform has been restored or replaced.

Assessment: The act of assessing; appraisal.

Backup: The practice of copying information, regardless of the media (paper, microfilm, audio or video tape, computer disks, etc.) to provide a duplicate copy.

Business Continuity Plan: Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change.

Business Impact Analysis: An evaluation of the strengths and weaknesses of an agency's disaster preparedness and the impact an interruption would have on agency business. This is a management level analysis by which an organization assesses the quantitative (financial) and qualitative (non-financial) impact and loss.

Business IT Recovery Process: The common critical path that all companies follow during a recovery effort. There are major nodes along the path, which are followed regardless of the organization. The process has seven stages:

1. Immediate response
2. Environmental restoration
3. Functional restoration
4. Data synchronization
5. Restore business functions
6. Interim site
7. Return home

Call Tree: Cascading list of key agency personnel and outside emergency personnel in order of notification.

Chain of Communication: A list of names of agency personnel in the order that they will be notified in the event of an emergency; persons on the list may be responsible for communicating information to their subordinates in the agency and to those lower on the list.

Cold Site: A relocation site that is reserved for emergency use, but which requires the installation of equipment, etc., before it can support operation.

Communications: Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions (MEF) of the organization.

Continuity Coordinators: These are the senior representatives tasked with coordinating the organizations continuity program.

Continuity Guidance Circular: The guidance document provides direction to non-federal entities for developing continuity plans and programs.

Continuity of Government: The effort to ensure continued leadership, authorities, direction and control, and preservation of records, thereby maintaining a viable system of government.

Continuity of Operations: An internal effort within individual components of the government to assure that capability exists to continue essential component function across a wide range of potential emergencies through a planning document.

Emergency Relocation Group: Pre-designated staff who move to a relocation site to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident. The ERG is composed of an advance team plus emergency personnel.

ERG Member: A person who has been assigned responsibility to report to an alternate site, as required, to perform organizational essential functions or other tasks related to continuity of operations.

Essential Functions: Those functions that enable State agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, sustain the industrial/economic base in an emergency.

Essential Positions or Personnel: Those positions required to be filled by the local government of deemed essential by the State or individuals whose absence would jeopardize the continuation of an organization's essential functions.

Essential Resources: Resources the support the organization's ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general public, and sustain industrial and economic bases during an emergency.

Evacuation: Organized, phased, and supervised dispersal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Facilities: Locations where an organization's leadership and staff operate. Facilities should be able to provide staff with survivable protection and should enable continued and endurable operations.

Federal Continuity Directive: A document developed and promulgated by Department of Homeland Security which directs Federal executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

Federal Emergency Management Agency: An agency of the U.S. Department of Homeland Security to coordinate the response to a disaster that has occurred in the United States and that overwhelms the resources of local and state authorities.

First Responder: Police, fire and rescue, and emergency medical personnel who first arrive on the scene of an incident and take action to save lives, protect property, and meet basic human

needs.

For Official Use Only: A document designation used by Department of Defense and a number of other federal agencies to identify information or material which, although unclassified, may not be appropriate for public release.

Government Emergency Telecommunications Service: Supports Federal, State, local, and tribal government, industry, and non-governmental organization (NGO) personnel in performing their National Security and Emergency Preparedness missions. GETS provides emergency access and priority processing in the local and long distance segments of the Public Switched Telephone Network (PSTN). It is intended to be used in an emergency or crisis situation when the PSTN is congested and the probability of completing a call over normal or other alternate telecommunication means has significantly decreased.

Homeland Security Advisory System: A series of tools used by DHS that provide the public with guidance on the status of the Nation's homeland security. The system combines threat information with vulnerability assessments, and communicates this information to public safety officials and the public.

Hot Site: A fully equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities, and other equipment necessary to fully support an organization's immediate work and data processing requirements in the event of an emergency or a disaster.

Improvement Plan: A cycle of events that incorporates evaluations, AAR's and lessons learned into the development and implementation of an IP.

Incident Action Plan: Formally documents incident goals, operational period objectives, and the response strategy defined by Incident Command during response planning. It contains general tactics to achieve goals and objectives within the overall strategy, while providing important information on event and response parameters.

Incident Command System: A standardized, on-scene, all-hazards incident management approach that:

- Allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.
- Enables a coordinated response among various jurisdictions and functional agencies, both public and private.

Recovery Time Objective: The period of time within which systems, applications, or functions must be recovered after an outage.

Relocation Site (Alternate Facility): The site where all or designated employees will report for work if required to move from the primary facility.

Risk Assessment/ Analysis: An evaluation of the probability that certain disruptions will occur and the controls to reduce organization exposure to such risk.

Staff: Those personnel, both senior and core, who provide the leadership, advice, recommendations, and functional support necessary to continue essential operations.

Staging Area: Temporary location for personnel, supplies, and/or equipment to enable positioning of, and accounting for, resources not immediately assigned.

Standard Operating Procedures: Protocol for the conduct of regular operations.

Survivable Communications: The establishment and maintenance of an assured end-to-end communications path during all phases of a nuclear event.

Telecommuting Locations: Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.

Telework: The ability to work at a location other than the official duty station, using portable computers, high-speed telecommunications links and mobile communications devices.

Test, Training, and Exercise Program: Measures to ensure that an organization's continuity plan is capable of supporting the continued execution of the organization's essential functions throughout the duration of a continuity situation.

Virtual Offices: A location or environment where employees use portable information technologies and communication packages to do their work.

Vital Records and Systems: Records or documents, regardless of media (paper, microfilm, audio or video tape, computer disks, etc.) which, if damaged or destroyed, would disrupt business operations and information flows and cause considerable inconvenience and require placement or re-creation at considerable expense.

Vulnerability Analysis: A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications

infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

Warm Site: An alternate processing site which is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is only capable of providing backup after additional provisioning, software or customization is performed.

Weapons of Mass Destruction: Weapons that are capable of killing a lot of people and/or causing a high-order magnitude of destruction, or weapons that are capable of being used in such a way as to cause mass casualties or create large-scale destruction. WMDs are generally considered to be nuclear, biological, chemical and radiological devices, but WMDs can also be high-explosive devices.

Work-at-home: When employees carry out their work duties at their residence rather than their official duty station.

CROSS REFERENCE

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 20 http://www.homeland.ca.gov/pdf/HSPD-20.pdf		
Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	<p>It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.</p> <p>Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.</p>	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	<p>Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.</p> <p>A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.</p>	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	<p>Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences.</p> <p>Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.</p>	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	<p>Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis.</p> <p>Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.</p>	4.0 Human Capital Management

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 51

<http://www.fas.org/irp/offdocs/nspd/nspd-51.htm>

Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions. A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences. Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis. Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.	4.0 Human Capital Management
Definitions, (2), (i) AND Implementation Actions, (11), (A)	Government Functions that must be performed in order to support or implement the performance of Essential Functions before, during, and in the aftermath of an emergency. The continuation of the performance of Essential Functions during any emergency must be for a period of up to 30 days or until normal operations can be resumed.	5.0 Essential Functions

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	While an organization needs leaders, staff, communications, and facilities to perform its essential functions, it also needs well thought out and detailed plans for what to do with those key resources. Planning must include all of the requirements and procedures needed to perform essential functions.	1.6 Planning Responsibilities
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training, it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	2.0 Plan Implementation
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Risk management is the process to identify, control, and minimize the impact of uncertain events.	3.0 Risk / Vulnerability Assessment
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital	2) Agencies must provide guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event. 3) Agencies must implement a process to communicate the agency's operating status to all staff. 4) Agencies must implement a process to contact and account for all staff in the event of an emergency. 6) Agencies must implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help agencies continue essential functions during an emergency.	4.0 Human Capital Management
FCD 2, Policy, Number 5	Departments and agencies are to identify their Mission Essential Functions (MEF's) and the primary mission essential functions that support the MEF's and ensure that those functions can be continued through-out, or resumed rapidly after, a disruption of normal activities. The continuous performance of essential functions must be guaranteed with the right people, the right resources and the right planning.	5.0 Essential Functions
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital, Leadership and Staff	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. During a continuity event, emergency employees and other special categories of employees will be activated by an agency to perform assigned response duties.	6.0 Key Positions / Personnel

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note) (Cont'd)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Number 8, Pillar 3, Communications & Technology	All organizations must identify the communication requirements needed to perform their essential functions during both routine and continuity conditions.	14.0 Interoperable Communications
FCD 1, Elements of a Viable Continuity Capability, Number 9 (h), Test, Training and Exercise	Plan, conduct, and document periodic TT&Es to prepare for all-hazards continuity emergencies and disasters, identify deficiencies, and demonstrate the viability of continuity plans and programs. Deficiencies, actions to correct them, and a timeline for remedy must be documented in an organization's CAP.	15.0 Maintaining COOP Readiness
AND FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training , it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	

* **Note:** Federal Continuity Directive 2 (FCD 2) implements the requirements of Federal Continuity Directive 1, ANNEX C.

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)
http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (g)	<p>An organization's continuity of operations program, plans, and procedures should incorporate existing organization-specific guidance and direction for human capital management. These can include guidance on pay, leave, work scheduling, benefits, telework, hiring, etc., authorities and flexibilities.</p> <p>Organizations should implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help organizations continue essential functions during an emergency.</p>	4.0 Human Capital Management
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (a) Essential Functions	<p>The identification and prioritization of essential functions is a prerequisite for continuity planning, because they establish the planning parameters that drive an organization's efforts in all other planning and preparedness areas.</p>	5.0 Essential Functions
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff	<p>Continuity of leadership during crisis, especially in the case of senior positions is important to reassure and give confidence that the principal position or person or appropriate successor is managing the crisis and ensuring the performance of essential functions. Leaders need to set priorities and keep focus.</p>	6.0 Key Positions / Personnel
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff AND Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (b)	<p>Continuity of leadership is critical to ensure continuity of essential functions. Organizations should provide for a clear line of succession in the absence of existing leadership and the necessary delegations of authority to ensure that succeeding leadership has the legal and other authorities to carry out their duties.</p> <p>Orders of Succession should be of sufficient depth to ensure that the organization can manage and direct its essential functions and operations throughout any emergency.</p>	7.0 Orders of Succession

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (e)	The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key leadership personnel, internal organization elements, federal and other non-federal entities, critical customers, and the public, during crisis and disaster conditions. The capabilities of communications and IT systems (e.g., secure and non-secure voice systems, video conferencing, and fax and other messaging capabilities) to be used during an incident should mirror those capabilities used during day-to-day operations, and the choice of communications and IT systems should consider how resilient those systems are and how capable they are of operating under conditions that may involve power or other infrastructure disruptions.	14.0 Interoperable Communications
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (h)	An effective TT&E program is necessary to assist organizations to prepare and validate their organization's continuity capabilities and program to perform essential functions during any emergency. This requires the identification, training, and preparedness of personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of organization essential functions.	15.0 Maintaining COOP Readiness

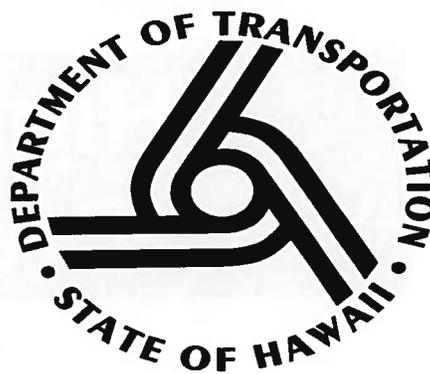
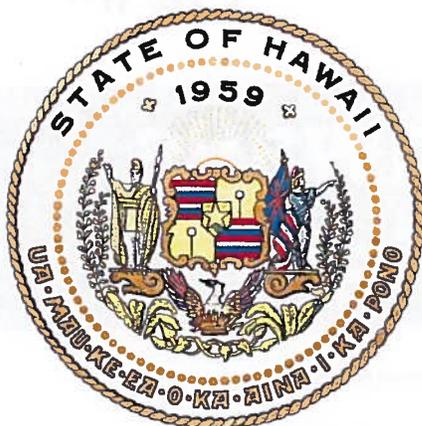
CONTINUITY GUIDANCE CIRCULAR 2 (Cont'd.)

http://www.fema.gov/pdf/about/org/ncp/coop/cont_guidance2.pdf

Location in Directive	Brief Description	Section in COOP Plan
<p>Process Overview Section 3-1</p>	<p>The identification of essential functions is the first element in ensuring a viable and effective continuity capability. In support of this goal it is important that (1) MEFs are accurately identified and prioritized; (2) a continuity-focused Business Process Analysis (BPA) is conducted to explore the processes required to perform each MEF; and (3) a Business Impact Analysis (BIA) is conducted to evaluate the effect threats and hazards may have on the ability to accomplish MEFs. Based on these analyses, risk mitigation strategies should be developed and implemented to help ensure successful MEF performance during a disruption.</p>	<p>5.0 Essential Functions</p>
<p>Mission Essential Functions Section 3-2</p>	<p>Identification and prioritization of MEFs represent the basis for effective continuity planning. Prioritizing the MEFs helps focus the organization to ensure that the highest priority missions receive the appropriate effort first, particularly during a crisis when emergency resources may be limited.</p>	

CONTINUITY OF OPERATIONS PLAN (COOP)

DEPARTMENT OF TRANSPORTATION HIGHWAYS DIVISION



MARCH 2012

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All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. and state statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4 and 6 and the Hawaii Uniform Information Practices Act. This document is to be used to implement the State of Hawaii, hereafter referred to as "State", Continuity of Operations (COOP) Plan and contact government personnel in response to an emergency affecting the State. Unauthorized use of this information may constitute an invasion of privacy.

FOREWORD

The Highways Division has essential operations and functions that must be performed, or rapidly and efficiently resumed, in a disaster or national emergency. Emergency events can quickly interrupt, paralyze, and/or destroy the ability of the Highways Division to perform these essential operations. While the impact of these emergencies cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities, our services, and our mission.

The State, along with its officials and departments/agencies/offices, has prepared a comprehensive and effective COOP Plan to ensure that essential operations can be performed during an emergency situation that may disrupt normal operations. This plan was developed to establish policy and guidance to ensure the execution of mission essential functions and to direct the relocation of personnel and resources to a continuity facility capable of supporting operations. The plan outlines procedures for alerting, notifying, activating, and deploying personnel; identifying the mission essential functions; establishing a continuity facility; and identifying personnel with authority and knowledge of these functions.

DISTRIBUTION LIST

Distribution of the full version of this COOP Plan, which may contain sensitive information, will be restricted to essential personnel governed by a need-to-know basis.

All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information Act, Exemptions 3, 4, and 6.

DISTRIBUTION LIST	
Plan Holder	
1	State Civil Defense
2	Department of Transportation
3	Department of Accounting and General Services
4	Federal Highway Administration
5	Federal Transit Agency
6	Federal Motor Carrier SA
7	County's of CCHL, Hawaii, Kauai, Maui
8	

General (G) Distribution

General distribution of selected unclassified sections of the COOP Plan may be issued to all employees to ensure a high level of readiness. Distribution methods may be a combination of the local department's/agency's/office's instructional letters, employee bulletins, or other internal memoranda.

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1.0 INTRODUCTION

1.1 *Introduction*

The key purpose of COOP planning is to reduce the consequences of a disaster to acceptable levels. Although when and how a disaster will occur is not known, the fact that future disasters will happen is certain. A COOP Plan is designed and implemented to establish response, recovery, resumption, and restoration procedures.

1.2 *Purpose*

This COOP Plan for the State presents a management framework, establishes operational procedures to sustain essential activities if normal operations are not feasible, and guides the restoration of the government's full functions. The plan provides for attaining operational capability within 12 hours and sustaining operations for 30 days or longer in the event of a catastrophic event or an emergency affecting the State.

The primary objectives of this plan are to:

- Ensure the continuous performance of the essential functions during an emergency
- Protect essential facilities, equipment, vital records, and other assets
- Reduce or mitigate disruptions to essential functions
- Assess and minimize damage and losses
- Facilitate decision-making during an emergency
- Achieve a timely and orderly recovery from an emergency and resumption of full service to customers

The COOP planning program's characteristics are:

- Capable of being maintained at a high level of readiness
- Capable of implementation with or without warning
- Able to achieve operational status no later than 12 hours after activation
- Able to sustain essential functions for up to 30 days
- Designed to take maximum advantage of existing department/agency/office infrastructures

1.3 *Applicability and Scope*

The departments/agencies/offices to which this COOP Plan applies are:

- State Civil Defense
- Department of Transportation

The emergency conditions, events, and situations (sometimes referred to as "triggers") under which this COOP Plan would be implemented include:

- State facilities are down but the rest of the facilities are functioning normally
- State facilities are down, and other critical services are down (e.g., electricity, water, etc.)
- All facilities are down due to natural causes and/or
- All facilities are compromised due to man-made events (e.g., a terrorist attack)

1.6 **Planning Responsibilities**

Responsibility for COOP planning resides with the highest level of management of the department/agency/office involved. The chief elected official of the State is ultimately responsible for the continuation of essential services in an emergency and, consequently, for the related planning.

The department/agency/office head has several COOP planning responsibilities including, but not limited to, the following:

- Appointing a department/agency/office COOP Coordinator
- Developing a COOP Multi-Year Strategy and Program Management Plan
- Developing, approving, and maintaining COOP Plans for all components of the department/agency/office
- Coordinating COOP planning efforts and initiatives with policies, plans, and activities related to critical infrastructure protection
- Training the department's/agency's/office's staff for their COOP responsibilities
- Participating in periodic COOP exercises
- Notifying appropriate outside parties (e.g., the Governor) when COOP Plans are activated

The department/agency/office head may delegate tasks but will continue to regularly monitor and be updated on COOP Team efforts. There will be close coordination between the department's/agency's/office's management and the team responsible for COOP planning.

Table 1 lists the names, designated positions and the responsibilities of the personnel who are responsible for COOP planning.

1.7 Concept of Operations

An effective concept of operations describes the four phases of COOP Plan execution:

1. Readiness and preparation
2. Activation and relocation
3. COOP
4. Reconstitution

Note: See Plan Implementation Section.

The State provides comprehensive governmental functions and services focused on the creation, growth, and livelihood of critical infrastructure, economy, and community. Through inter- and intra-department/agency/office relationships, the State will provide critical and/or essential functions and services to ensure that lives, property, and economy are protected during and after a natural, man-made, or technical disruption or disaster.

The State is committed to ensuring that each of its citizens have peace of mind in knowing that if a disaster strikes their community, the State will continue critical and/or essential government functions using available facilities and personnel.

The State is dedicated to its citizens and business communities, and will always be ready to protect our public resources, our governmental services, and our regulatory powers so that in the event of a disaster, the State will experience minimal or no disruption.

1.8 Mission Statement

To provide a safe, efficient, and accessible highway system through the utilization of available resources in the maintenance, enhancement and support of land transportation facilities that ensures the mobility of people and goods, and enhances and/or preserves economic prosperity and the quality of life.

- Incident Command — Determine objectives and establish priorities based on the nature of the incident
- Planning Section — Develop the Incident Action Plan (IAP) to accomplish these objectives; collect and evaluate information and maintain status of assigned resources
- Operations Section — Develop the tactical organization and direct all resources to carry out the incident action plan
- Logistics Section — Provide resources and all other services needed for support, including transportation, food and lodging requirements
- Finance/Administrative Section — Monitor costs related to the incident, providing cost analysis and overall fiscal guidance to include procurement and time recording
- Legal Officer — Provide guidance on the legal and liability implications with COOP and Continuity of Government Plan activation

2.3 Phase 3: Continuity of Operations

This phase includes the following activities to continue essential functions:

- Account for all department/agency/office personnel
- Conduct essential functions (which depend on the situation)
- Establish communications with supporting and supported department/agency/office, and when and if directed to do so by the Governor and/or via this department/agency/office, the community
- Conduct recovery activities as needed, coordinated through this department/agency/office and other departments/agencies/offices with the required personnel expertise, (e.g. Department of Transportation, DAGS, County's EOC), etc.

Plans or procedures include:

- Reception, in-processing, and accounting for COOP personnel
- Transition of responsibilities to the deployed continuity personnel
- Guidance for non-deployed personnel
- Identification of replacement personnel and augmentees, as necessary
- Execution of all essential functions at the continuity facility
- Activation of processes and procedures to acquire the resources necessary to continue essential functions
- Notification of the adjacent departments/agencies/offices, and, when and if directed to do so by the Governor via this department/agency/office, the community of COOP activation and status
- Redeployment plans for phasing down continuity facility operations and returning essential functions, personnel, records, and equipment to the primary or other operating facility when appropriate

3.0 ASSESSMENT

3.1 *Risk Assessment*

Hazard or threat identification and vulnerability assessment combine probabilities of event occurrence (e.g., earthquake, hurricane, tsunami, etc.) with factors relevant to the specific site (e.g., location, operational, and structural characteristics) to determine the risk of a given threat at a site. Risk is the predicted impact that a hazard might have on people, services, and facilities within a department/agency/office.

Listed in Table 2, in priority order, are the hazards that could occur in the State. The probability of occurrence (in terms of highly likely, medium chance of occurrence, and low possibility of occurring) is listed for each hazard.

3.2 *Vulnerability Assessment* **Secondary Hazards and Threats**

Hazards and threats from a secondary source were considered. Neighboring departments/agencies/offices or facilities were considered if they housed materials or performed operations that generate hazards or threats for the department/agency/office. While there is no direct control over this type of hazard or threat, the site vulnerability may be higher.

Physical Security

A Site Vulnerability Analysis typically considers problems relating to the location of the facility in question. The Vulnerability Analysis may reference the risk of demonstrations, acts of terrorism, and crime rates in the immediate area. In addition, the Analysis may discuss the current protection methods used such as camera systems, guards, and access control systems.

Physical security design and assessment considers mechanical, electronic, and computer issues in addition to the building, and the department/agency/office function or location-related threats and hazards. Topics ranging from locking systems and updated standards to screening and detection equipment were included in the Vulnerability Analysis.

4.0 HUMAN CAPITAL MANAGEMENT

4.1 *Employee Dismissal or Building Closure Procedures*

Employee dismissal is per the Governor's Office and Department of Human Resources Development.

4.2 *Established Methods of Employee Communications*

Employee communications are conducted through a phone tree for the department/agency/office.

4.3 *Procedures for Making Media Announcements*

Media announcements during an emergency will be made through the Deputy Director (Public Information Officer) in conjunction with the Governor's Office, Director of Communications.

4.4 *Pay and Benefit Issues*

The Department of Accounting & General Services will be in control of all pay roll. Interpretation of pay and benefit authorities for all department/agency/office employees will be addressed to the Department of Human Resources Development.

5.0 ESSENTIAL FUNCTIONS

The department/agency/office has identified the essential functions that enable it to provide vital services, exercise civil authority, maintain the safety and well-being of the general population, and sustain the industrial and economic base in an emergency. Essential functions provide the basis for COOP planning.

The essential functions are prioritized according to those activities that are pivotal to resuming operations when a catastrophic event occurs. Prioritization is determined by the following:

- Time criticality of each essential function
- Sequence for recovery of essential functions and their critical processes

Note: An essential function's time criticality is related to the amount of time that function can be suspended before it adversely affects the department's/agency's/office's core mission. Time criticality can be measured by either recovery time or recovery point objectives. The Recovery Point Objective (RPO) is more specific to information systems. It is the amount of data that can be lost measured by a time index. Not all processes have RPOs, and some processes can have both a RPO and an RTO.

Essential functions and their supporting processes and services are intricately connected. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services that are necessary to assure continuance of an essential function are considered critical. Often, the processes and services deemed critical vary depending upon the emergency or if they have a time or calendar component.

Table 3 is a prioritized order of the essential functions within the department/agency/office. For each essential function listed, their critical dependencies (supportive processes or services) and their RTO are provided.

6.0 KEY PERSONNEL

Each essential function has associated key personnel and positions that are necessary to the COOP. They represent strategically vital points in the department's/agency's/office's management and authority, and underscore the essential functions of the department/agency/office that must be carried out. If these positions are left unattended, the department/agency/office will not be able to meet customer needs or fulfill its essential functions.

Table 4 lists the key personnel, and their contact information, that perform essential functions, including supporting process and procedures. Also provided are the key personnel's current title and their role once operating under the COOP Plan.

7.0 ORDERS OF SUCCESSION

Succession planning ensures the continued effective performance of the department/agency/office by making provisions for the replacement of people in key positions. Succession orders should be of sufficient depth to ensure the department's/agency's/office's ability to manage, direct, and perform essential functions through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to department/agency/office in emergencies of all types.

Table 5 lists the key positions by essential function, the successors for the position, and the conditions for succession.

ORDERS OF SUCCESSION

Essential Function	Key Position / Personnel	Successor 1 (By position)	Successor 2 (By position)	Successor 3 (By position)	Condition for Succession
		District (Maintenance Engineer for Oahu)	District	for each District	

Table 6 Delegation of Authority

DELEGATION OF AUTHORITY – SUCCESSOR 1							
Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Clear debris from roadways	Assistant District Engineer for each District (Maintenance Engineer for Oahu)	Full	Administrative	Incapacitation or absence of key position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Structural assessments of bridges and roads	Design Branch, Bridge Design Section, Design Engineer	Full	Administrative	Incapacitation or absence of key position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Transfer resources to the Districts as needed	Construction and Maintenance Branch, Maintenance Engineer	Full	Administrative	Incapacitation or absence of key position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Manage traffic signals	Assistant District Engineer for each District (Maintenance Engineer for Oahu)	Full	Administrative	Incapacitation or absence of key position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Repair of damages	Assistant District Engineer for each District (Maintenance Engineer for Oahu)	Full	Administrative	Incapacitation or absence of key position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Damage assessment and reporting for Highways	Construction and Maintenance Branch,	Full	Administrative	Incapacitation or absence of key position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K

Table 6 Delegation of Authority

DELEGATION OF AUTHORITY – SUCCESSOR 2							
Essential Function	Successor Position 2	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Clear debris from roadways	Construction Engineer for each District	Full	Administrative	Incapacitation or absence of 1 st successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Structural assessments of bridges and roads	Design Branch, Bridge Design Section, Design Engineer	Full	Administrative	Incapacitation or absence of 1 st successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Transfer resources to the Districts as needed	Construction and Maintenance Branch, Construction Engineer	Full	Administrative	Incapacitation or absence of 1 st successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Manage traffic signals	Construction Engineer for each District	Full	Administrative	Incapacitation or absence of 1 st successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Repair of damages	Construction Engineer for each District	Full	Administrative	Incapacitation or absence of 1 st successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Damage assessment and reporting for Highways emergency relief funding	Construction and Maintenance Branch, Construction Engineer	Full	Administrative	Incapacitation or absence of 1 st successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Replenish fuel	Construction Engineer for each District	Full	Administrative	Incapacitation or absence of 1 st successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K

Table 6 Delegation of Authority

DELEGATION OF AUTHORITY – SUCCESSOR 3							
Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
Clear debris from roadways	Maintenance Engineer/Superintendent for each District	Full	Administrative	Incapacitation or absence of 2 nd successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Structural assessments of bridges and roads	None (3 rd Party Contractor Vendor)	Limited	Emergency	Incapacitation or absence of 2 nd successor position/personnel	Rules waived	Procedures waived	Limited to approval by Construction and Maintenance Engineer
Transfer resources to the Districts as needed	Construction and Maintenance Branch, Maintenance Section, Contract Services Unit Engineer	Full	Administrative	Incapacitation or absence of 2 nd successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Manage traffic signals	Maintenance Engineer/Superintendent for each District	Full	Administrative	Incapacitation or absence of 2 nd successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Repair of damages	Maintenance Engineer/Superintendent for each District	Full	Administrative	Incapacitation or absence of 2 nd successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Damage assessment and reporting for Highways emergency relief funding	Construction and Maintenance Branch, Maintenance Section, Contract Services Unit Engineer	Full	Administrative	Incapacitation or absence of 2 nd successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K
Replenish fuel	Maintenance Engineer/Superintendent for each District	Full	Administrative	Incapacitation or absence of 2 nd successor position/personnel	Rules waived	Procedures waived	Credit card limitation at \$100K

Table 7 Devolution of Direction and Control

DEVOLUTION OF DIRECTION AND CONTROL						
Essential Function	Department/Agency/Office to Transfer Essential Function	Roster of Trained Staff	Trigger for Devolution	Equipment and Supplies Needed	Procedures for Acquiring Supplies	Trigger for Reconstitution
Clear debris from roadways	DOT from another HI island or from another state, or alternatively 3 rd Party Contractors	Yes	Highways Division is demolished	Equipment and supplies as needed	Rental or acquire from Private Industry as needed	Recovery or rehire of trained staff.
Structural assessments of bridges and roads	DOT from another HI island or from another state, or alternatively 3 rd Party Contractors	Yes	Highways Division is demolished	Equipment and supplies as needed	Rental or acquire from Private Industry as needed	Recovery or rehire of trained staff.
Transfer resources to the Districts as needed	DOT from another HI island or from another state, or alternatively 3 rd Party Contractors	Yes	Highways Division is demolished	Equipment and supplies as needed	Rental or acquire from Private Industry as needed	Recovery or rehire of trained staff.
Manage traffic signals	DOT from another HI island or from another state, or alternatively 3 rd Party Contractors	Yes	Highways Division is demolished	Equipment and supplies as needed	Rental or acquire from Private Industry as needed	Recovery or rehire of trained staff.
Repair of damages	DOT from another HI island or from another state, or alternatively 3 rd Party Contractors	Yes	Highways Division is demolished	Equipment and supplies as needed	Rental or acquire from Private Industry as needed	Recovery or rehire of trained staff.
Damage assessment and reporting for Highways emergency relief funding	DOT from another HI island or from another state, or alternatively 3 rd Party Contractors	Yes	Highways Division is demolished	Equipment and supplies as needed	Rental or acquire from Private Industry as needed	Recovery or rehire of trained staff.
Replenish fuel	DOT from another HI island or from another state, or alternatively 3 rd Party Contractors	Yes	Highways Division is demolished	Equipment and supplies as needed	Rental or acquire from Private Industry as needed	Recovery or rehire of trained staff.

Table 8 Vital Records and Databases

VITAL RECORDS AND DATABASES					
Essential Function	Vital Records and Databases	Form of Record (e.g., hard copy, electronic)	Pre-Positioned or Hand Carried	Storage Location(s)	
Clear debris from roadways	Daily Maintenance Reports Receipts from purchases	Hard copy/electronic Hard copy/electronic	Hand carry/Pre-Positioned Hand carry/Pre-Positioned	Oahu District for Oahu and Kauai, otherwise Hawaii and Maui Districts Stored at each District Office/First Hawaiian Bank	
Structural assessments of bridges and roads	Damage Assessment Report	Hard copy/electronic	Hand carry/Pre-Positioned	Design Branch, Bridge Design Section, Kapolei	
Transfer resources to the Districts as needed	Receipts from purchases	Hard copy/electronic	Hand carry/Pre-Positioned	Stored at each District Office/First Hawaiian Bank	
Manage traffic signals	Daily Maintenance Reports	Hard copy/electronic	Hand carry/Pre-Positioned	Oahu District for Oahu and Kauai, otherwise Hawaii and Maui Districts	
Repair of damages	Damage Assessment Report	Hard copy/electronic	Hand carry/Pre-Positioned	Construction and Maintenance Branch	
Damage assessment and reporting for Highways emergency relief funding	Damage Assessment Report	Hard copy/electronic	Hand carry/Pre-Positioned	Construction and Maintenance Branch	
Replenish fuel	Receipts from purchases	Hard copy/electronic	Hand carry/Pre-Positioned	Stored at each District Office/First Hawaiian Bank	

Table 9 System and Equipment

SYSTEM AND EQUIPMENT					
Essential Function	System and Equipment	Type of System and Equipment	Pre-Positioned or Hand Carried	Storage Location(s)	
Clear debris from roadways	Heavy equipment (bulldozers, graders, backhoe, dump trucks, etc.)	Heavy equipment	Pre-Positioned	Various Storage Yards	
Structural assessments of bridges and roads	Snooper (Aerial Lift) x2	Heavy equipment	Pre-Positioned	Oahu District Neighbor Island District to District	
Transfer resources to the Districts as needed	Heavy equipment (bulldozers, graders, backhoe, dump trucks, etc.)	Heavy equipment	Pre-Positioned	Various Storage Yards	
Manage traffic signals	Aerial Lift	Heavy equipment	Pre-Positioned	Various Storage Yards	
Repair of damages	Heavy equipment (bulldozers, graders, backhoe, dump trucks, etc.)	Heavy equipment	Pre-Positioned	Various Storage Yards	
Damage assessment and reporting for Highways emergency relief funding	None	N/A	N/A	N/A	
Replenish fuel	None	N/A	N/A	N/A	

Table 10 Critical Vendors

CRITICAL VENDORS			
Essential Function	Vendor (Name & Address)	Contact Information (Point of Contact Phone & Email)	Services Provided
Clear debris from roadways	Electric Company on each island	All Districts contact Electric Company	Clearing around power lines
Structural assessments of bridges and roads	Various structural firms	Varies (first available)	For structural engineers
Transfer resources to the Districts as needed	Various food and hotel vendor's	Varies	For food and shelter of Highway Division personnel
Manage traffic signals	Phoenix Pacific 1019 Lauia Street, Unit 2 Kapolei, HI 96707	N/A	Traffic signal parts
	Shah & Associates 1717 Ala Wai Blvd., #2609 Honolulu, HI 96815	N/A	Traffic signal parts
Repair of damages	Various construction Contractor's	Varies (first available)	For repairs
Damage assessment and reporting for Highways emergency relief funding	None	N/A	N/A
Replenish fuel	Tesoro and/or various providers	Varies	For fuel

Table 11 Continuity Facility

CONTINUITY FACILITY					
Essential Function	Continuity Facility (Name & Address)	Number of Employees Required	Logistical Supports Required	Resources and Infrastructure Required	
Clear debris from roadways	Alternate District Office	~ 50-330	N/A	N/A	
Structural assessments of bridges and roads	Alternate District Office	2 - 4	N/A	N/A	
Transfer resources to the Districts as needed	Alternate District Office	2 - 4	N/A	N/A	
Manage traffic signals	Alternate District Office	2 - 10	N/A	N/A	
Repair of damages	Alternate District Office	~ 50-330	N/A	N/A	
Damage assessment and reporting for Highways emergency relief funding	Alternate District Office	2 - 10	N/A	N/A	
Replenish fuel	Alternate District Office	1	N/A	N/A	

Table 12 Interoperable Communications

INTEROPERABLE COMMUNICATIONS				
Communication System Needed in Continuity Facilities	Current Provider	Alternative Provider	Alternative Mode 1	Alternative Mode 2
Landlines	Hawaiian Telecom		Personal Cell Phones	Text Messaging
Personal Cell Phones	Various	Various	Text Messaging	
Internet				
Department Email			Personal Emails	Text Messaging
Department Website				
Hand-held radios/radios in vehicles	Pacific Wireless Communications	None	Personal Cell Phones	Text Messaging
Satellite phone (13)	County EOC or Airport Division for usage			

Note: Notifications to the community pertaining to the emergency situation and/or each department/agency/office during an emergency will be conducted via the appropriate medium, (e.g., PIO) announcements and/or when instructed, answering machine message at the department/agency/office level).

Each annual exercise will build upon the previous year's exercise, resulting in a full-scale exercise. This full-scale exercise will occur every fifth (5th) year.

This department/agency/office will facilitate the After Action Report (AAR) meeting. This meeting will be conducted within 30 days of an exercise or full-scale COOP activation. Within 60 days of conducting the meeting, this department/agency/office will publish the AAR.

For department/agency/office COOP activations, the department/agency/office affected will be responsible for conducting the AAR meeting and publishing the AAR within the allotted timeframe.

Exercise Schedule

Testing and exercise plans for COOP will include:

- Internal testing/exercising of COOP Plans and procedures
 1. As changes occur
 2. Upon implementation of the department/agency/office COOP Plan, with after actions and lessons learned,
 3. At least annually to ensure the ability to perform essential functions and operate from designated continuity facilities and work sites
- Testing of alert and notification procedures and systems for any type of emergency at least quarterly
- Joint department/agency/office exercising of COOP Plans, where applicable and feasible

15.3 Multi-Year Strategy and Program Management Plan

It is effective to maintain COOP capabilities using a multi-year strategy and program management plan. Such a management plan outlines the process(es) to be followed in designating essential functions and resources, defines short and long-term COOP goals and objectives, forecasts budgetary requirements, anticipates and addresses issues and potential obstacles, and establishes planning milestones.

15.4 COOP Plan Maintenance

The plan will be reviewed and updated at least annually, or whenever necessary, to reflect changes in the department/agency/office, essential functions, procedures, or contact information. Changes to the plan will be noted in the Revision Record provided in the Foreword. The COOP Program Management Team (Table 1) is responsible for ensuring that the plan is reviewed and updated.

The COOP Program Management Team is also responsible for the following:

- Addressing and resolving COOP Plan policy issues
- Advising the department/agency/office head on COOP-related matters
- Coordinating among related plans
- Conducting training, testing, and exercises
- Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Event Development and Planning (Cont'd)				
9.	Develop documentation/materials required to support event in accordance with approved schedule: <ul style="list-style-type: none"> • Concept & Objectives Paper • Event Plan • Evaluation Plan • Agenda • Slides • Participant Observation Form/Critique Form • Handouts/Participant Packets • Facilitator Books Add other documents/materials as required based on nature of event.			
10.	Coordinate with guest speakers and presenters, if applicable <ul style="list-style-type: none"> • Provide copy of approved agenda • Advise them of their allocated briefing/presentation timeframe • Request copies of their materials for inclusion in briefing slides and participant packet and indicate suspense date for these • Request list of their equipment/supply requirements and indicate suspense date for these • Provide lodging/billeting information, if applicable • Provide directions/map to training location, if applicable • Obtain speaker biography for introduction at the event 			
11.	Confirm space and dates with training location point of contact (POC)			
Administration				
1.	Create attendee list/roster <ul style="list-style-type: none"> • Update list as necessary • Forward all updates to other applicable POCs for administration, event site, transportation, security, and IT/communications, as applicable 			
2.	Create list of individuals requiring lodging/billeting			
3.	Complete and submit travel authorizations, if applicable			

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Site Logistics				
1.	Coordinate with building POC at event site/visit site before event <ul style="list-style-type: none"> • Determine existing equipment and resources • Identify any additional equipment and resources that will be required. Provide list of requirements and supplies to building POC • Determine best room layout/arrangement based on agenda and number of attendees • Determine if location is accessible to participants with disabilities if applicable 			
2.	Coordinate with cafeteria/food service POC at the training site, if applicable			
3.	Coordinate with billeting/lodging POC at event site <ul style="list-style-type: none"> • Forward copy of updated attendee lists as received • Obtain information (e.g., cost and location) on alternative lodging options if necessary 			
Transportation				
1.	Determine if transportation to training site is required. If so: <ul style="list-style-type: none"> • Determine number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC • Devise transportation schedule (i.e., marshalling point, departure time from marshalling point, return schedule) in coordination with site transportation POC 			
2.	Determine if on-site transportation is required. If yes: <ul style="list-style-type: none"> • Determine when transportation will be required and number of personnel to be transported • Identify any special access transportation needs • Forward requirements to site transportation POC 			

APPENDIX B: COOP DRIVE AWAY KITS

Drive-away kits are packages of records, information, communication, and computer equipment and other items or material related to an emergency operation to be used by those deployed to continuity facilities. A drive-away kit should be prepared and maintained in up-to-date condition for each member of the COOP team for response to any incident. The kit should contain those items essential to supporting the team member's operations at the continuity site. Each kit may be unique, but most should include items such as COOP checklists, key contact lists, electronic storage media, and files specific to the member's position, specialized tools, and maps to the continuity facility.

Consideration should be given to the possibility that an employee may not be able to access the drive-away kit at the time of an emergency. For example, an employee might be away from the department/agency/office at the time an event rendered it unusable and, thus, unable to return to retrieve the drive-away kit. It is prudent to take action to address such situations before an emergency occurs, such as storing drive-away kits in the employee's home or car, or pre-positioning important resources at the continuity facility.

The following are examples of items that may be included in Drive-Away kit:

- Department/agency/office COOP Plan;
- Identification and Charge Cards:
 - DHS ID Card;
 - FEMA ID Card;
 - Driver's License;
 - Government Travel Card;
 - Health Insurance Card; and/or
 - Personal Charge Card.
- Communication Equipment:
 - Pager/BlackBerry;
 - Government Cell Phone;
 - Personal Cell Phone;
 - Government Phone Card;
 - GETS Card; and/or
 - Personal Long-Distance Phone Card.
- Medical Needs:
 - Insurance Information;
 - List of Allergies/Blood Type;
 - Hearing Aids and Extra Batteries;
 - Glasses and Contact Lenses;
 - Extra Pair of Glasses/Contact Lenses;
 - Prescription Drugs;
 - Over-the-Counter Medications; and/or
 - Dietary Supplements, etc.
- Postage Stamps and Personal Stationary;
- Cash for Miscellaneous Expenses (including coins for vending machines);

APPENDIX C: GLOSSARY OF TERMS/ACRONYMS

Advance Team: A working group responsible for coordinating the activities associated with relocation planning and deployment of essential operations and positions during a COOP event.

After-Action Report: A narrative report that presents issues found during an exercise or an incident and recommendations on how those issues can be resolved.

Alternate Communications: Communication methods that provide the capability to perform minimum essential department or office functions until normal operations can be resumed.

Alternate Database/Records Access: The duplication and/or backup of vital resources and records, and the ability to access such resources and records in the event that the COOP Plan is put into effect.

Alternate Facilities/Work Site: A location, other than the normal facility, used to conduct critical functions and/or process data in the event that the primary facility is inaccessible or damaged. The alternate site provides the capability to perform minimum essential department or office functions until normal operations can be resumed.

Application Recovery: The component of IT Disaster Recovery which deals specifically with the restoration of business system software and data, after the processing platform has been restored or replaced.

Assessment: The act of assessing; appraisal.

Backup: The practice of copying information, regardless of the media (paper, microfilm, audio or video tape, computer disks, etc.) to provide a duplicate copy.

Business Continuity Plan: Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change.

Business Impact Analysis: An evaluation of the strengths and weaknesses of an agency's disaster preparedness and the impact an interruption would have on agency business. This is a management level analysis by which an organization assesses the quantitative (financial) and qualitative (non-financial) impact and loss.

Business IT Recovery Process: The common critical path that all companies follow during a recovery effort. There are major nodes along the path, which are followed regardless of the organization. The process has seven stages:

1. Immediate response
2. Environmental restoration
3. Functional restoration
4. Data synchronization
5. Restore business functions
6. Interim site
7. Return home

Call Tree: Cascading list of key agency personnel and outside emergency personnel in order of notification.

Chain of Communication: A list of names of agency personnel in the order that they will be notified in the event of an emergency; persons on the list may be responsible for communicating information to their subordinates in the agency and to those lower on the list.

Cold Site: A relocation site that is reserved for emergency use, but which requires the installation of equipment, etc., before it can support operation.

Communications: Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions (MEF) of the organization.

Continuity Coordinators: These are the senior representatives tasked with coordinating the organizations continuity program.

Continuity Guidance Circular: The guidance document provides direction to non-federal entities for developing continuity plans and programs.

Continuity of Government: The effort to ensure continued leadership, authorities, direction and control, and preservation of records, thereby maintaining a viable system of government.

Continuity of Operations: An internal effort within individual components of the government to assure that capability exists to continue essential component function across a wide range of potential emergencies through a planning document.

Emergency Relocation Group: Pre-designated staff who move to a relocation site to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident. The ERG is composed of an advance team plus emergency personnel.

ERG Member: A person who has been assigned responsibility to report to an alternate site, as required, to perform organizational essential functions or other tasks related to continuity of operations.

Essential Functions: Those functions that enable State agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, sustain the industrial/economic base in an emergency.

Essential Positions or Personnel: Those positions required to be filled by the local government of deemed essential by the State or individuals whose absence would jeopardize the continuation of an organization's essential functions.

Essential Resources: Resources the support the organization's ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general public, and sustain industrial and economic bases during an emergency.

Evacuation: Organized, phased, and supervised dispersal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Facilities: Locations where an organization's leadership and staff operate. Facilities should be able to provide staff with survivable protection and should enable continued and endurable operations.

Federal Continuity Directive: A document developed and promulgated by Department of Homeland Security which directs Federal executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

Federal Emergency Management Agency: An agency of the U.S. Department of Homeland Security to coordinate the response to a disaster that has occurred in the United States and that overwhelms the resources of local and state authorities.

First Responder: Police, fire and rescue, and emergency medical personnel who first arrive on the scene of an incident and take action to save lives, protect property, and meet basic human

needs.

For Official Use Only: A document designation used by Department of Defense and a number of other federal agencies to identify information or material which, although unclassified, may not be appropriate for public release.

Government Emergency Telecommunications Service: Supports Federal, State, local, and tribal government, industry, and non-governmental organization (NGO) personnel in performing their National Security and Emergency Preparedness missions. GETS provides emergency access and priority processing in the local and long distance segments of the Public Switched Telephone Network (PSTN). It is intended to be used in an emergency or crisis situation when the PSTN is congested and the probability of completing a call over normal or other alternate telecommunication means has significantly decreased.

Homeland Security Advisory System: A series of tools used by DHS that provide the public with guidance on the status of the Nation's homeland security. The system combines threat information with vulnerability assessments, and communicates this information to public safety officials and the public.

Hot Site: A fully equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities, and other equipment necessary to fully support an organization's immediate work and data processing requirements in the event of an emergency or a disaster.

Improvement Plan: A cycle of events that incorporates evaluations, AAR's and lessons learned into the development and implementation of an IP.

Incident Action Plan: Formally documents incident goals, operational period objectives, and the response strategy defined by Incident Command during response planning. It contains general tactics to achieve goals and objectives within the overall strategy, while providing important information on event and response parameters.

Incident Command System: A standardized, on-scene, all-hazards incident management approach that:

- Allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.
- Enables a coordinated response among various jurisdictions and functional agencies, both public and private.

Recovery Time Objective: The period of time within which systems, applications, or functions must be recovered after an outage.

Relocation Site (Alternate Facility): The site where all or designated employees will report for work if required to move from the primary facility.

Risk Assessment/ Analysis: An evaluation of the probability that certain disruptions will occur and the controls to reduce organization exposure to such risk.

Staff: Those personnel, both senior and core, who provide the leadership, advice, recommendations, and functional support necessary to continue essential operations.

Staging Area: Temporary location for personnel, supplies, and/or equipment to enable positioning of, and accounting for, resources not immediately assigned.

Standard Operating Procedures: Protocol for the conduct of regular operations.

Survivable Communications: The establishment and maintenance of an assured end-to-end communications path during all phases of a nuclear event.

Telecommuting Locations: Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.

Telework: The ability to work at a location other than the official duty station, using portable computers, high-speed telecommunications links and mobile communications devices.

Test, Training, and Exercise Program: Measures to ensure that an organization's continuity plan is capable of supporting the continued execution of the organization's essential functions throughout the duration of a continuity situation.

Virtual Offices: A location or environment where employees use portable information technologies and communication packages to do their work.

Vital Records and Systems: Records or documents, regardless of media (paper, microfilm, audio or video tape, computer disks, etc.) which, if damaged or destroyed, would disrupt business operations and information flows and cause considerable inconvenience and require placement or re-creation at considerable expense.

Vulnerability Analysis: A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications

infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

Warm Site: An alternate processing site which is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is only capable of providing backup after additional provisioning, software or customization is performed.

Weapons of Mass Destruction: Weapons that are capable of killing a lot of people and/or causing a high-order magnitude of destruction, or weapons that are capable of being used in such a way as to cause mass casualties or create large-scale destruction. WMDs are generally considered to be nuclear, biological, chemical and radiological devices, but WMDs can also be high-explosive devices.

Work-at-home: When employees carry out their work duties at their residence rather than their official duty station.

CROSS REFERENCE

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 20 http://www.homeland.ca.gov/pdf/HSPD-20.pdf		
Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	<p>It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.</p> <p>Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.</p>	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	<p>Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.</p> <p>A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.</p>	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	<p>Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences.</p> <p>Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.</p>	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	<p>Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis.</p> <p>Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.</p>	4.0 Human Capital Management

HOMELAND SECURITY PRESIDENTIAL DIRECTIVE 51

<http://www.fas.org/irp/offdocs/nspd/nspd-51.htm>

Location in Directive	Brief Description	Section in COOP Plan
Policy, (3) AND Implementation Actions, (4)	It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions.	1.6 Planning Responsibilities
Implementation Actions, (4), (8)	Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions. A National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities.	2.0 Plan Implementation
Implementation Actions, (4) AND Definitions, (2), (d)	Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences. Continuity of Operations, or COOP, means an effort within individual executive departments and agencies to ensure that Primary Mission-Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.	3.0 Risk / Vulnerability Assessment
Implementation Actions, (11), (d), (e)	Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis. Provision must be made for the availability and redundancy between and amongst key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.	4.0 Human Capital Management
Definitions, (2), (i) AND Implementation Actions, (11), (A)	Government Functions that must be performed in order to support or implement the performance of Essential Functions before, during, and in the aftermath of an emergency. The continuation of the performance of Essential Functions during any emergency must be for a period of up to 30 days or until normal operations can be resumed.	5.0 Essential Functions

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	While an organization needs leaders, staff, communications, and facilities to perform its essential functions, it also needs well thought out and detailed plans for what to do with those key resources. Planning must include all of the requirements and procedures needed to perform essential functions.	1.6 Planning Responsibilities
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training, it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	2.0 Plan Implementation
FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Risk management is the process to identify, control, and minimize the impact of uncertain events.	3.0 Risk / Vulnerability Assessment
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital	2) Agencies must provide guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event. 3) Agencies must implement a process to communicate the agency's operating status to all staff. 4) Agencies must implement a process to contact and account for all staff in the event of an emergency. 6) Agencies must implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help agencies continue essential functions during an emergency.	4.0 Human Capital Management
FCD 2, Policy, Number 5	Departments and agencies are to identify their Mission Essential Functions (MEF's) and the primary mission essential functions that support the MEF's and ensure that those functions can be continued through-out, or resumed rapidly after, a disruption of normal activities. The continuous performance of essential functions must be guaranteed with the right people, the right resources and the right planning.	5.0 Essential Functions
FCD 1, Elements of a Viable Continuity Capability, Number 9 (g) Human Capital, Leadership and Staff	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. During a continuity event, emergency employees and other special categories of employees will be activated by an agency to perform assigned response duties.	6.0 Key Positions / Personnel

FEDERAL CONTINUITY DIRECTIVES 1 AND 2 * (See Note) (Cont'd)

<http://www.docstoc.com/docs/7295465/Federal-Continuity-Directive-1-DHS/>

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Number 8, Pillar 3, Communications & Technology	All organizations must identify the communication requirements needed to perform their essential functions during both routine and continuity conditions.	14.0 Interoperable Communications
FCD 1, Elements of a Viable Continuity Capability, Number 9 (h), Test, Training and Exercise	Plan, conduct, and document periodic TT&Es to prepare for all-hazards continuity emergencies and disasters, identify deficiencies, and demonstrate the viability of continuity plans and programs. Deficiencies, actions to correct them, and a timeline for remedy must be documented in an organization's CAP.	15.0 Maintaining COOP Readiness
AND FCD 1, Program Management, Foundation: Continuity Planning and Program Management	Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training, it is ultimately the responsibility of leadership to ensure an organization-through normal procedures or with a continuity plan-can perform its essential functions before, during and after an incident.	

* **Note:** Federal Continuity Directive 2 (FCD 2) implements the requirements of Federal Continuity Directive 1, ANNEX C.

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)
http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (g)	<p>An organization's continuity of operations program, plans, and procedures should incorporate existing organization-specific guidance and direction for human capital management. These can include guidance on pay, leave, work scheduling, benefits, telework, hiring, etc., authorities and flexibilities.</p> <p>Organizations should implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to managers and make staff aware of that guidance in an effort to help organizations continue essential functions during an emergency.</p>	4.0 Human Capital Management
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (a) Essential Functions	<p>The identification and prioritization of essential functions is a prerequisite for continuity planning, because they establish the planning parameters that drive an organization's efforts in all other planning and preparedness areas.</p>	5.0 Essential Functions
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff	<p>Continuity of leadership during crisis, especially in the case of senior positions is important to reassure and give confidence that the principal position or person or appropriate successor is managing the crisis and ensuring the performance of essential functions. Leaders need to set priorities and keep focus.</p>	6.0 Key Positions / Personnel
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff AND	<p>Continuity of leadership is critical to ensure continuity of essential functions. Organizations should provide for a clear line of succession in the absence of existing leadership and the necessary delegations of authority to ensure that succeeding leadership has the legal and other authorities to carry out their duties.</p>	7.0 Orders of Succession
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (b)	<p>Orders of Succession should be of sufficient depth to ensure that the organization can manage and direct its essential functions and operations throughout any emergency.</p>	

CONTINUITY GUIDANCE CIRCULAR 1 (Cont'd)http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (e)	The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key leadership personnel, internal organization elements, federal and other non-federal entities, critical customers, and the public, during crisis and disaster conditions. The capabilities of communications and IT systems (e.g., secure and non-secure voice systems, video conferencing, and fax and other messaging capabilities) to be used during an incident should mirror those capabilities used during day-to-day operations, and the choice of communications and IT systems should consider how resilient those systems are and how capable they are of operating under conditions that may involve power or other infrastructure disruptions.	14.0 Interoperable Communications
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (h)	An effective TT&E program is necessary to assist organizations to prepare and validate their organization's continuity capabilities and program to perform essential functions during any emergency. This requires the identification, training, and preparedness of personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of organization essential functions.	15.0 Maintaining COOP Readiness

CONTINUITY GUIDANCE CIRCULAR 2 (Cont'd.)http://www.fema.gov/pdf/about/org/ncp/coop/cont_guidance2.pdf

Location in Directive	Brief Description	Section in COOP Plan
Process Overview Section 3-1	The identification of essential functions is the first element in ensuring a viable and effective continuity capability. In support of this goal it is important that (1) MEFs are accurately identified and prioritized; (2) a continuity-focused Business Process Analysis (BPA) is conducted to explore the processes required to perform each MEF; and (3) a Business Impact Analysis (BIA) is conducted to evaluate the effect threats and hazards may have on the ability to accomplish MEFs. Based on these analyses, risk mitigation strategies should be developed and implemented to help ensure successful MEF performance during a disruption.	5.0 Essential Functions
Mission Essential Functions Section 3-2	Identification and prioritization of MEFs represent the basis for effective continuity planning. Prioritizing the MEFs helps focus the organization to ensure that the highest priority missions receive the appropriate effort first, particularly during a crisis when emergency resources may be limited.	