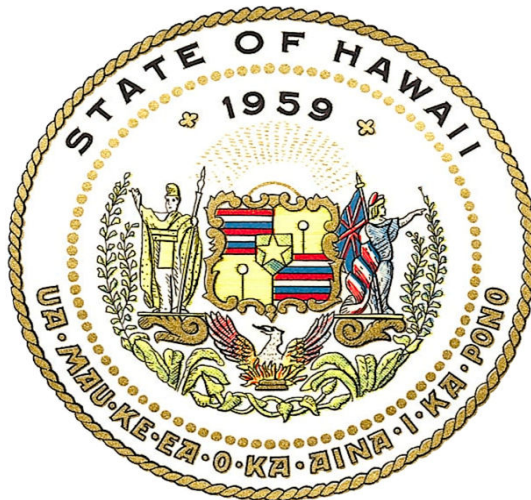# CONTINUITY OF OPERATIONS PLAN (COOP)
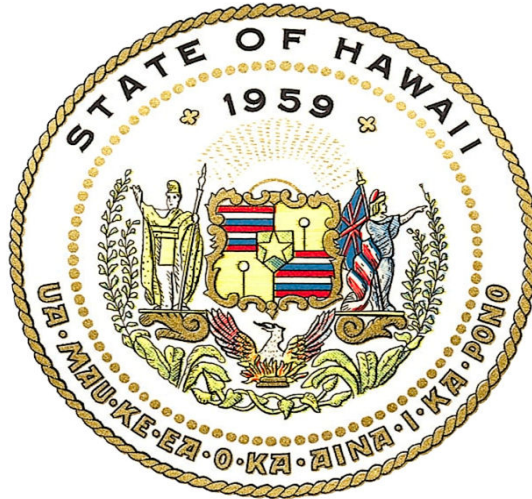
DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT

APRIL 2012

State of Hawaii

Department of Human Resources Development

Prepared for:

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the authors and do not necessarily represent the official position or policies of FEMA/GPD or the U.S. Department of Homeland Security

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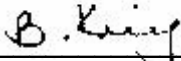
All COOP Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. and state statutes. Additionally, due to the inclusion of personal information about State employees, this COOP Plan shall be protected by the Freedom of Information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

PROMULGATION STATEMENT

Transmitted herewith is the COOP Plan for the Department of Human Resources Development. It provides a framework in which the local government, along with its officials, departments, agencies, offices and other governmental entities can plan and perform their respective functions during a disaster or national emergency.

This COOP Plan was prepared in accordance with direction from Homeland Security Presidential Directive 20, National Security Presidential Directive 51 and subsequent implementing guidance in Federal Continuity Directives 1 and 2, dated February 2008, Continuity Guidance Circular 1 (CGC 1), and Continuity Guidance Circular 2 (CGC 2). It is in accordance with other existing Federal, State, and local statutes and understanding of the various departments/agencies/offices involved. This plan supersedes any previous COOP Plan and has been certified by this department/agency/office within the State. It will be reviewed and re-certified annually. Recipients are requested to advise this department/agency/office of any changes which might result in its improvement or an increase in its usefulness.

Approved: _B. King_____   Date: _April 18, 2012_
                     [Director]

FOREWORD

The Department of Human Resources Development 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 Department of Human Resources Development 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.

REVISION RECORD

It is the responsibility of the holder of the plan to ensure that all changes and updates are made. The Plan Holder must:

- Remove and destroy obsolete pages
- Replace obsolete pages with the updated pages

REVISION RECORD		
Date	**Affected Page Numbers**	**Description of Changes (Reason, Authorization, Approval)**
January 2012	All	Initial distribution

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	Governor's Office
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.

EXECUTIVE SUMMARY

Historically, the State has always prepared, to the greatest extent possible, to respond to all hazard disasters and emergencies within its jurisdiction to save lives; protect the public's health, safety, and well being; protect property; maintain essential communications; provide for business and industrial continuity; and restore basic public services. However, the State has become increasingly aware of the extent to which disasters and emergencies can interrupt, paralyze, disrupt, and/or destroy its capabilities to preserve civil government institutions and perform essential governmental functions effectively under emergency conditions.

Consequently, the State has determined that it is imperative that each department/agency/ office develop and maintain a COOP Plan. COOP planning is designed to develop and maintain a plan that enables each department/agency/office to preserve, maintain, and/or resume its capability to function effectively in the event of the threat or occurrence of any disaster or emergency that could potentially disrupt governmental operations and services.

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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

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)

1.4 Authorities and References

This COOP Plan was written under the authority of the following documents:

- Homeland Security Presidential Directive 20
- National Security Presidential Directive 51
- Federal Continuity Directives 1 and 2
- Continuity Guidance Circular 1
- Continuity Guidance Circular 2
- Chapter 127, Hawaii Revised Statutes (HRS), Disaster Relief Act
- Chapter 128, Hawaii Revised Statutes (HRS), Civil Defense and Emergency Act;
- Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135
- U.S. Code Title 42, Chapter 68, Robert T. Stafford Disaster Relief and Emergency Assistance Act P. L. 93-288, as amended by Public Law 107-136, January 24, 2002
- State of Hawaii Plan for Emergency Preparedness, Volume I, Operational Civil Defense
- State of Hawaii Plan for Emergency Preparedness, Volume III, Disaster Response and Assistance

1.5   *Planning Assumptions*

Planning assumptions for the State and its departments/agencies/offices include:

- The vulnerability of the State depends on the probability of an event occurring and the impact that event could have on essential functions
- State and non-State personnel and resources located outside the area affected by the emergency or threat will be available as necessary to continue essential functions
- When a COOP event is declared, the State will implement a predetermined plan using trained and equipped personnel
- The State's goal is to be able to provide operational capability within 12 hours of the event and be able to continue essential functions for at least 30 days or until termination of the event, whichever is earlier
- In an emergency, outside assistance could be interrupted or unavailable
- Departments/agencies/offices must be prepared to operate without help for at least 5-7 days
- State officials are aware of their responsibilities and will respond as directed in the Emergency Operations Plans (EOP)
- Emergencies or threatened emergencies may adversely affect the department's/agency's/office's ability to continue to support essential functions and to provide services to clients or support to external agencies

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.

Table 1 COOP Program Management Team

COOP PROGRAM MANAGEMENT TEAM	
Name and Designated Position	**General Responsibilities**
Director	Approving authority of COOP Program.
Deputy Director	Back-up approving authority of the COOP Program and direction as needed.
Personnel Program Manager / Safety Office COOP Representative	Serves as task manager for plan components and procedure development. Also serves as a liaison for team members preparing/writing COOP Plan components and procedures. Primary POC for your and other department's/agency's/office's COOP Program. POC's to coordinate COOP Plan document design and development; will be liaison for departments/agencies/offices that are dependent on, or are dependencies for, your department/agency/office.
Personnel Program Manager / Safety Office COOP Program Manager / Training, Testing and Plan Maintenance Coordinator	Develops and coordinates a comprehensive series of activities that will enable a department/agency/office to perform essential functions during any emergency or act of terrorism; solicits "buy-in" and markets the COOP Program to Senior Management; develops the Multi-Year Strategy and Program for Plan Maintenance. Schedules and coordinates training of all key essential personnel identified as "first responders" for the department/agency/office. Schedules, coordinates, and documents the results (and lessons learned) of the exercising and testing of the COOP Plan to maintain viability. Establishes a review cycle for the COOP Plan to maintain readiness and currency.
Deputy Director (for Public Information Officer)	Responsible for disseminating accurate and precise information to the public, managing media contacts, and preparing press releases.
Administrative Services Officer COOP Administration / Logistics Support (Facilities)	Based on essential functions identified, assembles and pre-positions necessary resources, documents, and equipment. Orders supplies; coordinates with facility management to ready emergency operations site.

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 Department of Human Resources Development provides timely and responsive leadership, resources, and services to fully support the State in the recruitment, management, and retention of a high-performing workforce.

2.0 PLAN IMPLEMENTATION

2.1 Phase 1: Readiness and Preparation

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

Potential scenarios that may require COOP activation include, but are not limited to:

- Department/agency/office receives notification of a credible threat, 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/agency's/office'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 functions and personnel to a facility of another department/agency/office.

2.2 Phase 2: Relocation and Activation (0-12 hours)

The process and/or methodology for attaining operational capability at the continuity facility/work site(s) will be completed with minimal disruption to essential functions and within 12 hours of activation. The essential functions with a Recovery Time Objective (RTO) of 12 hours or less will continue without disruption, and continuous operational capability under all conditions should be ensured. RTO is the period of time within which essential functions, systems and applications must be recovered after an outage.

Phase 2 includes the following activities:

- The occurrence of an event or the threat of an event
- 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

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

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 Accounting and General Services (DAGS)), 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

2.4   *Phase 4: Reconstitution*

Reconstitution is conducted using a priority-based, phased approach in which the most essential functions are transferred last. Those functions that were discontinued because of the emergency should be reconstituted first. All personnel will be informed that the necessity for COOP no longer exists. Instructions for resumption of normal operations include supervising an orderly return to the normal operating facility, moving to another temporary facility, or moving to a new permanent facility. All departments will report their location status to this department, and the Governor. The process of reconstitution will generally start immediately after an event concludes, and can run concurrently with the recovery process. Some of the activities involved with reconstitution include, but are not limited to:

- Assessing the status of affected facilities with the appropriate department/ agency/office and personnel
- Determining how much time is needed to repair the affected facility and/or to acquire a new facility
- Supervising facility repairs with the appropriate department/agency/office and personnel
- Notifying decision makers of the status of repairs, including estimates of when the repairs will be completed
- Implementing a priority-based, phased approach to reconstitution

There will be an after action review of the effectiveness of COOP Plans and procedures as soon as possible, including an identification of aspects of the plans and procedures that need to be corrected, followed by lessons learned and the development of a Corrective Action Plan (CAP). A CAP is the plan of action and schedule for correcting a process or procedure, thus eliminating the causes of an identified problem from recurring.

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.

Table 2 Risk / Vulnerability Assessment

Priority	Hazards	Probability of Occurrence	RISK / VULNERABILITY ASSESSMENT	Essential Functions Affected	Overall Impact
			Capabilities / Resources / Mitigation Efforts		
1.	Earthquakes	Medium to High	US Geological Survey	All	High
2.	Tsunami	Medium to High	Pacific Tsunami Warning Center	All	High
3.	Hurricane	Medium to High	• NOAA • Emergency Operations Plan	All	High
4.	Flooding	Medium	• NOAA • Emergency Operations Plan	All	High
5.	Power Outage/Utility Failure	Medium	• Hawaiian Electric Company	All	Medium
6.	Fire	Low to Medium	• Building equipped with fire detection and suppression equipment • Fire extinguishers located in facility • Employee training on emergency evacuation methods	All	Medium
7.	Chemical Release	Low	• HVAC units shut down • Fresh air vents closed	All	Medium
8.	Terrorism	Low	• Secure access points • Lock down capabilities	All	Low
9.	Pandemic	Low	• Centers for Disease Control • State Department of Health • Vaccinations	All	High

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.

DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT

The following information is for 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.

Table 3 Essential Functions, Dependencies and Recovery Time Objective

Priority	Essential Function	Supportive Processes or Services / COOP Strategy	Supporting Departments/Agencies/ Offices	Manual Work- Around	Recovery Time Objective (RTO)
		ESSENTIAL FUNCTIONS, DEPENDENCIES AND RECOVERY TIME OBJECTIVES			
1.	Operability of Human Resources Management System (HRMS) for operations of department	IT operations, HRMS Server, back-up tapes	Information Systems Office of HRD	None – No redundant system, replication	1-2 weeks at minimum
2.	Personnel transaction processing	Human Resources Management System (HRMS)	Employee Relations	Manual documentation of the entries that would go in the HRMS if it were available.	As transactions need documenting
3.	Workers' compensation claims management	Human Resources Management System (HRMS)	Employee Claims	Track information manually. Would affect disbursement of monies to outside providers through DAGS.	Immediate tracking with other state departments
4.	Labor relations negotiations as changes come about	Jump drives	Employee Relations	N/A	As needed
5.	Recruitment and examination	NEOGOV hosted software application. Internet access	Employee Examination	NEOGOV software application is replicated on mainland. Accessible through the internet.	Immediate as needed
6.	Classification and compensation of positions	None	Classification and Compensation	Paper process. Put information in HRMS once it is back up.	As needed

	ESSENTIAL FUNCTIONS, DEPENDENCIES AND RECOVERY TIME OBJECTIVES				
Priority	**Essential Function**	**Supportive Processes or Services / COOP Strategy**	**Supporting Departments/Agencies/ Offices**	**Manual Work-Around**	**Recovery Time Objective (RTO)**
7.	Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation program)	None	Employee Relations	Paper process.	As needed
8.	Coordinating safety management needs in conjunction with other state departments – Accident prevention.	None	Employee Claims Division, Safety Office		As needed
9.	Communication system within departments	Email systems up and running (ICSD – DAGS)	Information Systems Office of HRD	Access email through internet.	As soon as possible

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.

Table 4 Key Personnel

| Essential Function | KEY POSITION / PERSONNEL | | Contact Information |
	Name, Title, Address	COOP Role	
Operability of Human Resources Management System (HRMS) for operations of department	IT Manager	Primary for essential function	Work: **(See Department Phone Tree)** Home: Cell: Alt. phone or email:
Personnel transaction processing	Personnel Program Manager – PTO Branch Chief	Primary for essential function	Work: Home: Cell: Alt. phone or email:
Workers' compensation claims management	Claims Management Branch Chief	Primary for essential function	Work: Home: Cell: Alt. phone or email:
Labor relations negotiations as changes come about	Labor Relations Branch Chief	Primary for essential function	Work: Home: Cell: Alt. phone or email:
Recruitment and examination	Staffing Branch Chief	Primary for essential function	Work: Home: Cell: Alt. phone or email:
Classification and compensation of positions	Classification Branch Chief	Primary for essential function	Work: Home: Cell: Alt. phone or email:
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation program)	Employee Assistance Branch Chief	Primary for essential function	Work: Home: Cell: Alt. phone or email:
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Safety Branch Chief	Primary for essential function	Work: Home: Cell: Alt. phone or email:

KEY POSITION / PERSONNEL

Essential Function	Name, Title, Address	COOP Role	Contact Information
Communication system within departments	IT Manager	Primary 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.

Table 5 Orders of Succession

Essential Function	Key Position / Personnel	ORDERS OF SUCCESSION			
		Successor 1 (By position)	Successor 2 (By position)	Successor 3 (By position)	Condition for Succession
Operability of Human Resources Management System (HRMS) for operations of department	IT Manager	IT Specialist	IT Specialist	ECD Personnel Management Specialist	Incapacitation or absence of key position/personnel
Personnel transaction processing	Personnel Program Manager – PTO Branch Chief	PTO Personnel Management Specialist	PTO Personnel Management Specialist	PTO Personnel Management Specialist	Incapacitation or absence of key position/personnel
Workers' compensation claims management	Claims Management Branch Chief	Claims Unit 1 Supervisor	Claims Unit 2 Supervisor	Administrator	Incapacitation or absence of key position/personnel
Labor relations negotiations as changes come about	Labor Relations Branch Chief	Labor Relations Officer	Labor Relations Officer	Labor Relations Officer	Incapacitation or absence of key position/personnel
Recruitment and examination	Staffing Branch Chief	Personnel Program Officer	Personnel Management Specialist VI	Personnel Management Specialist V	Incapacitation or absence of key position/personnel
Classification and compensation of positions	Classification Branch Chief	Compensation Branch Chief	Classification Supervisor	Personnel Management Specialist V (Classification)	Incapacitation or absence of key position/personnel
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation program)	Employee Assistance (EA) Branch Chief	EAO Personnel Management Specialist	EAO Personnel Management Specialist	EAO Personnel Management Specialist	Incapacitation or absence of key position/personnel
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Safety Branch Chief	Personnel Management Specialist (Safety)	Personnel Clerk (Safety)	Administrator (ECD)	Incapacitation or absence of key position/personnel
Communication system within departments	IT Manager	IT Specialist	IT Specialist	ECD Personnel Management Specialist	Incapacitation or absence of key position/personnel

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

Table 6 Delegation of Authority

Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
DELEGATION OF AUTHORITY – SUCCESSOR 1							
Operability of Human Resources Management System (HRMS) for operations of department	IT Specialist	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Personnel transaction processing	PTO Personnel Management Specialist	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Workers' compensation claims management	Claims Unit 1 Supervisor	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Labor relations negotiations as changes come about	Labor Relations Officer	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Recruitment and examination	Personnel Program Officer	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Classification and compensation of positions	Compensation Branch Chief	Full	Administrative	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation	EAO Personnel Management Specialist	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None

DELEGATION OF AUTHORITY – SUCCESSOR 1

Essential Function	Successor Position 1	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
program)							
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Personnel Management Specialist (Safety)	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Communication system within departments	IT Specialist	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None

Table 6 Delegation of Authority

Essential Function	Successor Position 2	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
DELEGATION OF AUTHORITY – SUCCESSOR 2							
Operability of Human Resources Management System (HRMS) for operations of department	IT Specialist	Full	Emergency	Incapacitation or absence of 1st successor	Customary authorities	Customary authorities	None
Personnel transaction processing	PTO Personnel Management Specialist	Full	Emergency	Incapacitation or absence of 1st successor	Customary authorities	Customary authorities	None
Workers' compensation claims management	Claims Unit 2 Supervisor	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Labor relations negotiations as changes come about	Labor Relations Officer	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Recruitment and examination	Personnel Management Specialist VI	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Classification and compensation of positions	Classification Supervisor	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation	EAO Personnel Management Specialist	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None

	DELEGATION OF AUTHORITY – SUCCESSOR 2						
Essential Function	Successor Position 2	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
program)							
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Personnel Clerk (Safety)	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None
Communication system within departments	IT Specialist	Full	Emergency	Incapacitation or absence of key position/personnel	Customary authorities	Customary authorities	None

Table 6 Delegation of Authority

Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
DELEGATION OF AUTHORITY – SUCCESSOR 3							
Operability of Human Resources Management System (HRMS) for operations of department	ECD Personnel Management Specialist	Full	Emergency	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None
Personnel transaction processing	PTO Personnel Management Specialist	Full	Emergency	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None
Workers' compensation claims management	Administrator	Full	Administrative	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None
Labor relations negotiations as changes come about	Labor Relations Officer	Full	Emergency	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None
Recruitment and examination	Personnel Management Specialist V	Full	Emergency	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None
Classification and compensation of positions	Personnel Management Specialist V (Classification)	Full	Emergency	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation	EAO Personnel Management Specialist	Full	Emergency	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None

DELEGATION OF AUTHORITY – SUCCESSOR 3

Essential Function	Successor Position 3	Type of Authority	Authority	Triggering Conditions	Rules	Procedures	Limitations
program)							
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Administrator (ECD)	Full	Administrative	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None
Communication system within departments	ECD Personnel Management Specialist	Full	Emergency	Incapacitation or absence of 2nd successor	Customary authorities	Customary authorities	None

9.0 DEVOLUTION OF DIRECTION AND CONTROL

Devolution planning supports overall COOP planning and addresses catastrophic and other disasters or events that render leadership and staff unavailable to, or incapable of, supporting the execution of its essential functions from either its primary or continuity location(s).

In Table 7, the department/agency/office that each essential function will be transferred to is identified.

In addition, the following information is also provided:

- Specifically trained staff within the department/agency/office to which the essential function was transferred, if feasible
- Trigger points for each essential function that are used to define a devolution event
- Equipment and supplies that will be needed for a specific essential function, if feasible and/or applicable
- Procedures for acquiring supplies that will be needed to maintain essential functions, if feasible and/or applicable
- Triggering events that will signal reconstitution of essential functions back to their originating department/agency/office

Table 7 Devolution of Direction and Control

Essential Function	DEVOLUTION OF DIRECTION AND CONTROL					
	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
Operability of Human Resources Management System (HRMS) for operations of department	DAGS ICSD	Yes	Department of Human Resources Development is demolished	HRMS System (mirror image)	Acquire operating system and hardware	Recovery or rehire of trained staff.
Personnel transaction processing	Individual state departments, ICSD, DAGS Payroll	Yes	Department of Human Resources Development is demolished	HRMS System (mirror image)	Acquire operating system and hardware	Recovery or rehire of trained staff.
Workers' compensation claims management	Private Third-Party Administrator's (TPAs)	Yes	Department of Human Resources Development is demolished	HRMS System (mirror image)	Acquire operating system and hardware	Recovery or rehire of trained staff.
Labor relations negotiations as changes come about	Governor's office (OCB), Individual state departments	Yes	Department of Human Resources Development is demolished	N/A	N/A	Recovery or rehire of trained staff.
Recruitment and examination	Individual state departments	Yes	Department of Human Resources Development is demolished	Access to NEOGOV through internet	Internet	Recovery or rehire of trained staff.
Classification and compensation of positions	Individual state departments	Yes	Department of Human Resources Development is demolished	Forms	N/A	Recovery or rehire of trained staff.
Employee assistance for claims and requests, employee	Budget and Finance Department, Individual state departments, 3rd	Yes	Department of Human Resources	N/A	N/A	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
assistance program (e.g., deferred compensation program)	Party Administrator		Development is demolished			
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Individual state departments	Yes	Department of Human Resources Development is demolished	N/A	N/A	Recovery or rehire of trained staff.
Communication system within HRD and with other state departments	DAGS-ICSD	Yes	Department of Human Resources Development is demolished	HRMS System (mirror image)	Acquire operating system and hardware	Recovery or rehire of trained staff.

10.0 VITAL RECORDS AND DATABASES

COOP Plans account for identification and protection of vital records and databases (including classified or sensitive data) that are needed to perform essential functions and activities and to reconstitute normal operations following an emergency. Table 8 identifies vital records and/or databases that are needed to support the maintenance of the essential functions. In addition, the following information is also provided:

- Current status of the vital record(s) or database
- Whether the vital record(s) or database is pre-positioned at or is to be hand carried to the continuity facility
- The specific current location of the vital record(s) or database

Note: Table 10, Critical Vendors, is for capturing all vendor information related to vital records and databases.

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)
Operability of Human Resources Management System (HRMS) for operations of department	None	N/A	N/A	N/A
Personnel transaction processing	None	N/A	N/A	N/A
Workers' compensation claims management	Hard copy of claims files and medical records (paper)	Hard copy	Hand carry	State Office Tower
	Archive records (paper)			
Labor relations negotiations as changes come about	Historical files (paper)	Hard copy	Hand carry	State Office Tower
	Documents on "L Drive" (paper and electronic)	Hard copy and electronic	Hand carry or pre-positioned	State Office Tower State Office Tower on department Server
Recruitment and staffing	Historical files (paper)	Hard copy	Hand carry	State Office Tower
	Documents on "L Drive" (paper and electronic)	Hard copy and electronic	Hand carry or pre-positioned	State Office Tower State Office Tower on department Server
Classification and compensation of positions	HRD forms and position descriptions (paper)	Hard copy	Hand carry	State Office Tower
	Class specifications and minimum qualifications (Electronic files and paper)	Hard copy and electronic	Hand carry or pre-positioned	State Office Tower on department Server State Office Tower

Process	Record	Format	Transportation	Location
	Compensation plans (paper and internet)	Hard copy and electronic	Hand carry or pre-positioned	State Office Tower State Office Tower on department Server
	Bargaining Unit database (servers)	Electronic	Hand carry or pre-positioned	State Office Tower on department Server
	Pricing folders (paper)	Hard copy	Hand carry	State Office Tower
	Exempt position database (Servers)	Electronic	Hand carry and pre-positioned	State Office Tower on department Server
	Shortage Tables (electronic on Servers and paper)	Hard copy and electronic	Hand carry or pre-positioned	State Office Tower on department Server State Office Tower
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation program)	Historical files (paper)	Hard copy	Hand carry	State Office Tower
	Documents on "H Drive" (paper and electronic)	Hard copy and electronic	Hand carry or pre-positioned	State Office Tower State Office Tower on department Server
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Safety Attendance Training Records (paper)	Hard copy	Hand carry	State Office Tower
	Drug and Alcohol Testing Data (paper)	Hard copy	Hand carry	State Office Tower
Communication system within departments	None	N/A	N/A	N/A

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.

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)
Operability of Human Resources Management System (HRMS) for operations of department	HRMS - System	Application System	Pre-Positioned	State Office Tower on department server
Personnel transaction processing	HRMS - System	Application System	Pre-Positioned	State Office Tower on department server
Workers' compensation claims management	HRMS - System	Application System	Pre-Positioned	State Office Tower on department server
Labor relations negotiations as changes come about	None	N/A	N/A	N/A
Recruitment and staffing	NEOGOV (internet)	Web based system	Pre-Positioned	Internet
Classification and compensation of positions	HRMS - System			
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation program)	None	N/A	N/A	N/A
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	None	N/A	N/A	N/A
Communication system within departments	Email systems (ICSD) Servers	Email System	Pre-Positioned	DAGS State Office Tower

12.0 CRITICAL VENDORS

Each essential function and its supporting dependencies, processes, and services that are necessary to assure continuance may have critical vendors.

In Table 10 are the critical vendors in support of this department/agency/office.

Table 10 Critical Vendors

Essential Function	Vendor (Name & Address)	Contact Information (Point of Contact Phone & Email)	Services Provided
CRITICAL VENDORS			
Operability of Human Resources Management System (HRMS) for operations of department	Oracle No local Address	1-800-223-1711 http://metalink.oracle.com	Oracle Database Support PeopleSoft support (support services accessible via the Internet)
	IBM No local address	www.ibm.com/support.us	AIX and Hardware Support (support services accessible via the Internet)
	Dell No local address	www.dell.com	Hardware support
Personnel transaction processing	None	N/A	N/A
Workers' compensation claims management	None	N/A	N/A
Labor relations negotiations as changes come about	None	N/A	N/A
Recruitment and examination	NEOGOV 222 North Sepulveda Blvd Suite 2000 El Segundo, CA 90245	Scott Letourneau 310-426-6304	NEOGOV application system
Classification and compensation of positions	None	N/A	N/A
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation program)	ING Deferred Compensation Plan 1003 Bishop Street Pauahi Tower, Suite 1160 Honolulu, HI 96813 ------------ 30 Braintree Hill Office Park Braintree, MA 02184	Jeanne Kanai 808 497-4011 Jeanne.kanai@us.ing.com ------------ Brian Merrick 781 796-9268 brian.merrick@us.ing.com	Benefit programs (Deferred Compensation Plan)

Essential Function	Vendor (Name & Address)	Contact Information (Point of Contact Phone & Email)	Services Provided
	Comprehensive Financial Planning 1314 S. King Street, Suite 321Honolulu, HI 96814	Donald Inouye 808-596-7006 cfpii001@hawaii.rr.com	Benefit programs (Island Flex)
	Life Insurance Company of the Southwest Millennium Tower 15455 N. Dallas Parkway Addison, TX 75001	Carl Lutz 214 638-9178 CLutz@nationallife.com	Benefit programs (Life Insurance)
	Work Life Hawaii 200 North Vineyard, BLDG B Honolulu, HI 96817	808-543-8445	Resource for Employment Assistance & Counseling Help (REACH)
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Diagnostic Laboratory Services Inc. 99-589 Iwaiwa St. Aiea, HI 96701	Lois Yamada/Carl Linden 808 589-5260 tox-list@dlslab.com	Drug and Breath Alcohol Collection and Testing Services
	Straub Doctors on Call 120 kaiulani Ave. Honolulu, HI 96815	Lezli Kushima 808 971-6020 lkushima@straub.net	Medical Review Officer
Communication system within departments	None	N/A	N/A

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.

Table 11 Continuity Facility

Essential Function	Continuity Facility (Name & Address)	Number of Employees Required	Logistical Supports Required	Resources and Infrastructure Required
CONTINUITY FACILITY				
Operability of Human Resources Management System (HRMS) for operations of department	Work from home and work with DAGS to find available space	2	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function
Personnel transaction processing	Work from home and work with DAGS to find available space	2	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function
Workers' compensation claims management	Work from home and work with DAGS to find available space	5	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function
Labor relations negotiations as changes come about	Work from home and work with DAGS to find available space	2	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function
Recruitment and examination	Work from home and work with DAGS to find available space	2	PC Internet Email Phone Usual and customary logistical	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function

Essential Function	Continuity Facility (Name & Address)	Number of Employees Required	Logistical Supports Required	Resources and Infrastructure Required
			support to accomplish essential function	
Classification and compensation of positions	Work from home and work with DAGS to find available space	3	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function
Employee assistance for claims and requests, employee assistance program (e.g., deferred compensation program)	Work from home and work with DAGS to find available space	2	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function
Coordinating safety management needs in conjunction with other state departments – Accident prevention.	Work from home and work with DAGS to find available space	2	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function
Communication system within departments	Work from home and work with DAGS to find available space	2	PC Internet Email Phone Usual and customary logistical support to accomplish essential function	Desk Chair Usual and customary resources and infrastructure required to accomplish essential function

14.0 INTEROPERABLE COMMUNICATIONS

The communications component of a COOP Plan requires well-defined chains of communication with alternative means of communicating should the primary radio communications and/or telecommunications systems (i.e., telephones, faxes, Internet) not be functioning.

Departments/agencies/offices strive to maintain communications capabilities commensurate with the department's/agency's/office's essential functions at all times. The COOP Plan facilitates communication between the department's/agency's/office's Point of Contact/COOP Program Management Team, management, and department/agency/office staff and provides for communication with other departments/agencies/offices, as well as emergency personnel. The plan also provides a means for notifying the community of the department/agency/office relocation and procedures for contacting the department/agency/office and conduction of business in an emergency.

Interoperable communications provide the following:

- Communications capability that adequately supports the department's/agency's/office's essential functions and activities
- Ability to communicate with COOP contingency staff, management, and other organizational components
- Ability to communicate with other departments/agencies/offices and with emergency personnel
- Access to other data and systems necessary to conduct essential activities and functions

Table 12 lists:

- The current service's provider along with the representative's name and contact information
- An alternate service provider if primary source becomes unavailable
- Alternate methods or modes of communication if primary and alternate sources are unavailable

Table 12 Interoperable Communications

Communication System Needed in Continuity Facilities	INTEROPERABLE COMMUNICATIONS			
	Current Provider	Alternative Provider	Alternative Mode 1	Alternative Mode 2
Land lines	Hawaiian Telecom		Cell phones	Text messages
Personal Cell phones	Various providers			
Internet	ICSD - DAGS			
Work email	ICSD - DAGS		Personal email	
Personal email accounts	Various providers (Hotmail)			
Department Website				

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).

15.0 MAINTAINING COOP READINESS

Major components of the maintenance program are the training of all key personnel in the performance of their COOP responsibilities; the conducting of periodic exercises to test and improve COOP Plans and procedures, systems, and equipment; and the institution of a multi-year process to ensure that the plan continues to be updated in response to changing conditions.

15.1 Training Plan

All personnel who will be involved in COOP activities will be trained and equipped to perform their emergency duties. Consideration will be given to "cross-training" team members to ensure that the team is prepared to deal with the unusual demands that may arise when emergency conditions must be faced by a reduced staff. COOP training will include the following:

- Individual and team training of COOP Team members and emergency personnel to ensure currency of knowledge and integration of skills necessary to implement the COOP Plan and carry out essential functions; team training will be conducted at least annually to ensure that COOP Team members are current on their respective COOP responsibilities
- Refresher orientation for the COOP Team as it arrives at a continuity operating facility; the orientation will cover the support and services available at the facility, including communications and information systems, and administrative matters, including supervision, security, and personnel policies
- Training courses and materials designed to improve knowledge and skills related to carrying out COOP responsibilities

15.2 Testing and Exercising the Plan

Testing and exercising of COOP capabilities are essential to demonstrate and improve the ability of the department/agency/office to execute its COOP Plan. They serve to validate, or identify for subsequent correction, specific aspects of COOP Plans, policies, procedures, systems, and facilities.

Scope of Exercises

An effective program will include a variety of exercise types, including tabletops, drills, and full-scale exercises. Full-scale exercises will simulate actual emergency conditions, and exercises may include the phase-down of continuity facility operations and return to normal operations. Following an exercise, a comprehensive debriefing and after-action report will be completed.

The State will conduct COOP awareness campaigns and seminars throughout the fiscal year. The State, this department/agency/office acting as the facilitator, will also conduct the following exercises:

- Year 1: Discussion
- Year 2: Tabletop
- Year 3: Drills
- Year 4: Functional
- Year 5: Full Scale

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

Event Title: _____
Event Date: _____

Primary Event POC: _____
Continuity Event POC: _____

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Event Development and Planning				
1.	Determine purpose, objectives, and concept (format)			
2.	Determine event location(s) and reserve space, as appropriate			
3.	Develop detailed schedule/timeline with milestones			
4.	Obtain management approval on concept and schedule			
5.	Announce/distribute approved dates and location(s) to all personnel involved in effort			
6.	Draft invitation/event announcement for participants and individuals involved in conduct of event • Include suspense date for attendees' names and required information (e.g., clearance status, social security numbers, and requirement for transportation to the event site) • Provide directions/map to training location, if applicable • Provide information on lodging/billeting and meals, if applicable • Provide any special security requirements or instructions, including name and fax number of security representative to whom clearance information should be submitted, if necessary			
7.	Obtain management approval of invitation/event announcement and finalize announcement at least 1 month before the event			
8.	Distribute invitation/event announcement at least 3 weeks before event			

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: • 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 • 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 • 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
	Administration (Cont'd)			
4.	Make travel arrangements as necessary			
5.	Distribute read-ahead materials to rostered attendees according to approved concept and/or schedule. Include any site-specific information as necessary			
6.	Prepare/obtain nametags and name tents, if applicable, for rostered attendees (Prepare extra nametags and tents to have on hand)			
7.	Identify and notify individual(s) to staff the administration desk/sign-in table at the beginning of each day of the event • Provide individual(s) with phone numbers of training site POCs (e.g., billeting/lodging, security, transportation, and IT/communications)			
8.	Prepare and pre-position sign-in sheet/ attendance roster for each day of the event • Provide copy of the completed sign-in sheet to the individuals preparing the after-action report • Provide copy of the completed sign-in sheet to the building POC if applicable			
9.	Identify individuals to serve as recorders (i.e., note takers) during the event			
10.	Determine requirements for escorts/guides and designate personnel, as applicable			
11.	Prepare appropriate number of copies of event materials and distribute these at event			
12.	Distribute participant packets/handouts on first day of event			
13.	Collect Participant Observation Forms/critique forms at the end of the event • Provide box or container for collection purposes • Provide copy of the completed forms to the individuals preparing the after-action report			
14.	Collect notes/comments from recorders at the end of the event; Forward these to the individual(s) preparing the after-action report			

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 • 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 • 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: • 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: • 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			

No.	Activity/Task	Lead POC(s)	Status/Remarks	Date Completed or N/A
Information Technology/Communications				
1.	Coordinate with IT/communications POC at event site. • Provide list of IT/communications requirements based on event agenda and attendee list • Request IT/communications specialist(s) to be available throughout the day to provide assistance as needed			
2.	Designate individual with responsibility for ensuring that IT and communications equipment is set up and operational on day of event • Advise individual of time to arrive on site • Provide individual with phone number of IT/communications POC at event site			
Security				
1.	Coordinate with site security POC • Advise of classification level and location (e.g., building and room) of event • Provide any attendee information needed by security staff • Determine special security concerns associated with event (e.g., special passes or badges, classified computer, classified material, etc.)			
2.	Identify individual who will courier classified event materials to the site, if necessary			
3.	Ensure appropriate measures are in place during event to protect classified and "For Official Use Only" (FOUO) information • Develop procedures for dissemination and collection of materials and distribute to staff members who will participate in conduct of event • Coordinate storage for classified materials, for overnight or temporary storage • Perform security check of room(s) at conclusion of each day of event			

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:
    - DHRD 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);

- Toiletries:
  o Toothbrush, Toothpaste, Dental Floss;
  o Bath Soap;
  o Shampoo;
  o Hair Dryer, Curling Iron;
  o Electric Razor or Razor and Shaving Cream;
  o Nail Clippers and File;
  o Deodorant or Antiperspirant; and/or
  o Personal Hygiene Products.

- Personal Contact Numbers;

- Emergency Phone Numbers and Addresses (for relatives, medical doctor, and pharmacist);

- Clothing (consider potential for extreme weather conditions at the ERS):
  o Business Casual Work Attire (4–5 days worth);
  o Leisure Clothes (workout clothing, etc.);
  o Underwear and Socks, Sleepwear, Robe, Slippers;
  o Light-Weight and Medium-Weight Sweater or Jacket;
  o Seasonal Outerwear; and/or
  o Comfortable Shoes.

- Recreation/Entertainment (reading materials, playing cards, puzzles, games);

- Small Portable Battery-Operated Radio/CD Player/Alarm Clock;

- Flashlight and Extra Batteries; and

- Bottled Water and Non-Perishable Food (e.g., granola, dried fruit, etc.).

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 is 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.

Continuity of Operations Event: Any event that causes an agency to relocate its operations to an alternate or other continuity site to assure continuance of its essential functions.

Continuity of Operations Plan: A COOP provides guidance on the system restoration for emergencies, disasters, mobilization, and for maintaining a state of readiness to provide the necessary level of information processing support commensurate with the mission requirements/ priorities identified by the respective functional proponent.
Planning document which outlines *how* essential agency functions will continue across a wide range of potential emergencies.

Continuity Program Management Cycle: An ongoing, cyclical model of planning, training, evaluating and implementing corrective actions for continuity capabilities.

COOP Plan Maintenance: Steps taken to ensure the COOP Plan is reviewed annually and updated whenever major changes occur.

Cooperative Agreement: Any formal, legally binding contract between two or more parties whereby the parties to that agreement agree to either share an alternate facility.

Coordinate: To advance systematically an exchange of information among principals who have or may have a need to know certain information in order to carry out their role in a response.

Corrective Action Program: A web-based application that allows Federal, State, territorial, tribal and local emergency response and homeland security officials to track and analyze improvements in their continuity plans and programs.

Critical Infrastructure Protection: Risk management actions intended to prevent a threat or threat agent from attempting to, or succeeding at, destroying or incapacitating critical infrastructures.

Critical Processes & Services: Activities, which could not be interrupted or unavailable without significantly jeopardizing operations of the organization.

Delegation of Authority: Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels and other organizational locations, as appropriate.

Department of Homeland Security: The Cabinet department of the United Stated federal government with the primary responsibilities of protecting the territory of the U.S. from terrorist attacks and responding to natural disasters.

Devolution: The capability to transfer statutory authority and responsibility for essential functions from an organization's primary operating staff and facilities to other organization employees and facilities, and to sustain that operational capability for an extended period.

Disaster Mortuary Operational Response Team: A Disaster Mortuary Operational Response Team or DMORT is a team of experts in the fields of victim identification and mortuary services. DMORTs are activated in response to large scale disasters to assist in the identification of deceased individuals and storage of the bodies pending the bodies being claimed.

Disaster Recovery: Activities and programs designed to return the entity to an acceptable condition. The ability to respond to an interruption in services by implementing a disaster recovery plan to restore an organization's critical business functions.

Drive-away Kit: A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual's personal and professional needs during deployment.

Emergency: A sudden, usually unexpected event that does or could do harm to people, resources, property or the environment. Emergencies can range from localized events that affect a single office in a building, to human, natural or technological events that damage, or threaten to damage local operations. An emergency could cause the temporary evacuation of personnel and equipment from the site to a new operating location environment.

Emergency Operating Records: Records (plans and directives, orders of succession and delegation of authority) essential to the continued functioning of an agency during and after an emergency to ensure continuity of operations.

Emergency Operations Center: The site from which government officials (municipal, county, State and Federal) exercise direction and control in an emergency.

Emergency Operations Plan: A plan that provides facility-wide procedures for emergency situations that generally includes personnel safety and evacuation procedures.

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.

- Establishes common processes for planning and managing resources.

Interagency agreements: A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Interoperability: The ability of a system or a product to work with other systems or products without special effort on the part of the user.

IT Disaster Recovery Plan: Plan that provides recovery and restoration procedures for mission-critical information technology (IT) components/systems that are necessary to perform mission-critical business functions. This plan does not provide contingency planning guidance for business processes. Business processes should be addressed in a business resumption or business continuity plan that is typically developed by non-IT staff.

Legal and Financial Records: Records (personnel records, social security records, payroll records, insurance records, contracts, etc.) essential to the protection of the legal and financial rights of an agency and of the individuals directly affected by the agency's activities.

Mission-critical Data: Information essential to supporting the execution of an organization's essential functions.

Mission Critical Functions: Activities, which could not be interrupted or unavailable without significantly jeopardizing operations of the organization.

Mission Essential Functions: The limited set of organization level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities.

Multiyear Strategy and Program Management Plan: A process that ensures the maintenance and continued viability of continuity plans.

Non-critical Processes: Business processes or supporting information which could be interrupted or unavailable for a significantly jeopardizing the critical functions of an organization.

Non-vital Records: Records or documents which are important but if irretrievably lost or damaged will not materially impair the organization's ability to conduct business.

Normal Operations: Refers to broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include planning and execution of tasks throughout the range of operations.

Occupant Emergency Plan: A short-term emergency response program that establishes procedures for safeguarding lives and property.

Occupant Evacuation Plan: Provides facility-level procedures for occupants of a facility in the event of a situation posing a potential threat to the health and safety of personnel, the environment, or property. This plan includes planning for personnel safety and evacuation. This plan is not an IT system functionality based plan and can therefore be implemented separately.

Orders of Succession: A list that specifies by position who will automatically fill a position once it is vacated during an emergency.

Plan: A proposed or intended method of getting from one set of circumstances to another. A plan is often used to move from the present situation towards the achievement of one or more objectives or goals.

Point of Contact: The coordinator of the COOP program and leader of the COOP team, who will implement COOP Plan during an emergency.

Preventative Controls: Measures in place to prevent loss of function of systems and of data critical to an agency's essential functions.

Primary Facility: The site of normal, day-to-day operations.

Program: A group of related initiatives managed in a coordinated way, so as to obtain a level of control and benefits that would not be possible from the individual management of the initiatives. Programs may include elements of related work outside the scope of the discrete initiatives in the program.

Rapid Recall List: Cascading list of key agency personnel and outside emergency personnel in order of notification.

Reconstitution: The process by which surviving and/or replacement personnel resume normal operations from the original or replacement primary operation facility.

Recovery: The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.

Recovery Point Objective: The point in time to which data must be restored in order to resume processing transactions. In an IT context, the amount of data that can be lost measured by a time index.

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.

ACRONYMS

AAR	-	After-Action Report
AC	-	Alternate Communications
AD/RA	-	Alternate Database/ Records Access
AF/WS	-	Alternate Facilities/ Work Site
AR	-	Application Recovery
ARC	-	American Red Cross
ASMT	-	Assessment
AT	-	Advance Team
BCP	-	Business Continuity Plan
BIA	-	Business Impact Analysis
BITRP	-	Business IT Recovery Process
BO	-	Budget Office
CC	-	Department of Corporation Counsel
CAP	-	Corrective Action Program
CDBG	-	Community Development Block Grant
CGC	-	Continuity Guidance Circular
CHRMS	-	Computerized Human Resources
CIP	-	Capital Improvement Program
COC	-	Chain of Communication
COG	-	Continuity of Government
COO	-	Continuity of Operations
COOP	-	Continuity of Operations Plan
CT	-	Call Tree
EF	-	Essential Functions
EFT	-	Electronic Funds Transfer
EOC	-	Emergency Operations Center
EOP	-	Emergency Operations Plan
EOR	-	Emergency Operating Records
ERG	-	Emergency Relocation Group
FCD	-	Federal Continuity Directive
FEMA	-	Federal Emergency Management Agency
FOUO	-	For Official Use Only
GETS	-	Government Emergency Telecommunications Service
IAP	-	Incident Action Plan
IAS	-	Integrated Assessment System
ICS	-	Incident Command System
IP	-	Improvement Plan
IT	-	Information Technology Division
IT DRP	-	IT Disaster Recovery Plan
JPAC	-	Joint POW / MIA Accounting Command
MCF	-	Mission Critical Functions

MEF	-	Mission Essential Functions
MEI	-	Medical Examiner Investigator
MYSPMP	-	Multi-Year Strategy and Program Management Plan
NVR	-	Non-Vital Records
OED	-	Office of Economic Development
OEP	-	Occupant Emergency Plan
OM	-	Office of the Mayor
PIO	-	Public Information Officer
POC	-	Point of Contact
RA	-	Risk Assessment/ Analysis
RPO	-	Recovery Point Objective
RRL	-	Rapid Recall List
RTO	-	Recovery Time Objective
SA	-	Staging Area
SDA	-	State Department of Health
SFDA	-	State Funeral Directors Association
SOP	-	Standard Operating Procedures
TT&E	-	Test, Training, and Exercise Program
VRS	-	Vital Records and Systems
WMD	-	Weapons of Mass Destruction

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 20 (Cont'd)		
http://www.homeland.ca.gov/pdf/HSPD-20.pdf		
Location in Directive	**Brief Description**	**Section in COOP Plan**
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 up to 30 days or until normal operations can be resumed.	5.0 Essential Functions
Implementation Actions, (11), (e)	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.	6.0 Key Positions / Personnel
Implementation Actions, (11), (b)	**Succession orders** and pre-planned devolution of authorities that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law.	7.0 Orders of Succession
Implementation Actions, (11), (b)	Succession orders and pre-planned devolution of **authorities that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law**.	8.0 Delegation of Authority
Implementation Actions, (11), (b)	Succession orders and **pre-planned devolution of authorities** that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law.	9.0 Devolution
Implementation Actions, (11), (c), (d)	Vital resources, facilities, and records must be safeguarded, and official access to them must be provided. Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis	10.0, 11.0 and 12.0 Vital Records
Implementation Actions, (11), (a)	Capability to be fully operational at alternate sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after COOP activation.	13.0 Continuity Facility
Implementation Actions, (11), (e)	Provision must be made for the availability and redundancy of critical communications capabilities at alternate sites in order to support connectivity between and among key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.	14.0 Interoperable Communications
Implementation Actions, (11), (g)	Provision must be made for the identification, training, and preparedness of personnel capable of relocating to alternate facilities to support the continuation of the performance of Essential Functions.	15.0 Maintaining COOP Readiness

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

Location in Directive	Brief Description	Section in COOP Plan
Implementation Actions, (11), (e)	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.	6.0 Key Positions / Personnel
Implementation Actions, (11), (b)	**Succession orders** and pre-planned devolution of authorities that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law.	7.0 Orders of Succession
Implementation Actions, (11), (b)	Succession orders and pre-planned devolution of **authorities that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law**.	8.0 Delegation of Authority
Implementation Actions, (11), (b)	Succession orders and **pre-planned devolution of authorities** that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law.	9.0 Devolution
Implementation Actions, (11), (c), (d)	Vital resources, facilities, and records must be safeguarded, and official access to them must be provided. Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis	10.0, 11.0 and 12.0 Vital Records
Implementation Actions, (11), (a)	Capability to be fully operational at alternate sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after COOP activation.	13.0 Continuity Facility
Implementation Actions, (11), (e)	Provision must be made for the availability and redundancy of critical communications capabilities at alternate sites in order to support connectivity between and among key government leadership, internal elements, other executive departments and agencies, critical partners, and the public.	14.0 Interoperable Communications
Implementation Actions, (11), (g)	Provision must be made for the identification, training, and preparedness of personnel capable of relocating to alternate facilities to support the continuation of the performance of Essential Functions.	15.0 Maintaining COOP Readiness

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

Location in Directive	Brief Description	Section in COOP Plan
FCD 1, Program Management, Number 8, Pillars 1 & 2, Leadership and Staff AND FCD 1, Elements of a Viable Continuity Capability, Number 9 (b), Orders of Succession	Organizations must provide for a clear line of succession in the absence of existing leadership and the necessary delegation of authority to ensure that succeeding leadership has the legal authorities to carry out their duties. Agencies are responsible for establishing, promulgating, and maintaining orders of succession to key positions.	7.0 Orders of Succession
FCD 1, Program Management, Number 8, Pillars 1 & 2, Leadership and Staff	Organizations must provide for a clear line of succession in the absence of existing leadership and the necessary delegation of authority to ensure that succeeding leadership has the legal authorities to carry out their duties.	8.0 Delegation of Authority
FCD 1, Elements of a Viable Continuity Capability, Number 9 (j), Devolution of Control & Direction	Devolution is the capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.	9.0 Devolution
FCD 1, Elements of a Viable Continuity Capability, Number 9 (f), Vital Records Management	Electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation should be identified, protected and readily available. Personnel must have access to and be able to use these records. To ensure performance of essential functions, agencies will pre-position and/or regularly update records.	10.0, 11.0 and 12.0 Vital Records
FCD 1, Program Management, Number 8, Pillar 4, Facilities AND FCD 1, Elements of a Viable Continuity Capability, Number 9 (d), Continuity Facilities	Organizations should have adequate, separate locations to ensure essential functions are executed by leadership and staff. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one location. Identify alternate facilities and alternate uses for existing facilities, virtual office options including telework.	13.0 Continuity Facility

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 AND FCD 1, Program Management, Foundation: Continuity Planning and Program Management	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. **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.	15.0 Maintaining COOP Readiness

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

CONTINUITY GUIDANCE CIRCULAR 1		
http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf		
Location in Directive	**Brief Description**	**Section in COOP Plan**
Background, Number 6 AND Program Management, Number 7	Responsibility for continuity planning resides with the highest level of management of the organization involved. The senior Elected Official or the administrative head of a State or local organization is ultimately responsible for the continuation of essential services during an emergency and for the related planning. The continuity program staff within an organization should coordinate and oversee the development and implementation of continuity plans and supporting procedures.	1.6 Planning Responsibilities
Background, Number 6 AND Annex N	Effective implementation of continuity plans and programs requires the support of senior leaders and decision makers who have the authority to commit the organization and the necessary resources to support the programs. An organization should be prepared to implement executive decisions that are based upon a review of the emergency, and that then determine the best course of action based on the organization's readiness posture. The organization should develop an implementation plan that includes that organization's continuity of operations implementation criteria. The plan should cover the four phases of (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution.	2.0 Plan Implementation
Program Management, Number 7, The Foundation: Continuity Planning and Program Management AND Annex B	Risk management is the process to identify, control, and minimize the impact of uncertain events. Security is a key element to any continuity program to protect plans, personnel, facilities, and capabilities to prevent adversaries from interfering with continuity plans and operations. In order to ensure the safety and success of continuity operations, an effective security strategy should address personnel, physical, and information security. Provide an understanding of the three questions: (1) What can go wrong, (2) What is the likelihood that the undesired event might occur; and (3) What would be the impact should it occur. Identify the existing safeguards that are in place to reduce either the likelihood (e.g., security countermeasures) or consequence (e.g., redundant capabilities) of the hazard.	3.0 Risk / Vulnerability Assessment

Location in Directive	Brief Description	Section in COOP Plan
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (g)	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. 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.	4.0 Human Capital Management
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (a) Essential Functions	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.	5.0 Essential Functions
Program Management, Number 7, Pillars 1 and 2: People – Leadership and Staff	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.	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)	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. 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.	7.0 Orders of Succession

Location in Directive	Brief Description	Section in COOP Plan
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, (c)	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.** It is vital to clearly establish delegations of authority so that all organization personnel know who has the right to make key decisions during a continuity situation.	8.0 Delegation of Authority
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (i)	Devolution is the capability to transfer statutory authority and responsibility for essential functions from an organization's primary operating staff and facilities to other organization employees and facilities, and to sustain that operational capability for an extended period.	9.0 Devolution
Background, Number 6 AND Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (f)	In general, continuity plans are designed to protect essential facilities, equipment, records, and assets. A viable continuity plan and program includes the identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity situation. Personnel should have access to and be able to use these records and systems to perform essential functions and to reconstitute back to normal organization operations. Organizations should pre-position and regularly update duplicate Emergency Operating Records to ensure performance of essential functions.	10.0, 11.0 and 12.0 Vital Records
Elements of a Viable Continuity Capability for Non-Federal Entities, Number 9, (d)	As part of their continuity planning, all non-federal entities should identify continuity facilities; alternate uses for existing facilities; and, as appropriate, virtual office options including telework.	13.0 Continuity Facility

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		
http://www.fema.gov/pdf/about/org/ncp/coop/cont_guidance2.pdf		
Location in Directive	**Brief Description**	**Section in COOP Plan**
Business Impact Analysis, Section 3-4 AND Business Impact Analysis Guidance, Identify Potential Threats and Hazards, Step 1	The BIA looks at how various threats or hazards can affect the accomplishment of essential functions and identifies those functions that may be most susceptible to failures. Potential threats and hazards that could impact performance of each MEF must be identified. Threats and hazards may be natural (e.g., hurricane, earthquake, flood), manmade (e.g., terrorist attack, cyber attack, chemical spill), or process oriented (e.g., supply chain failure, production disruption).	3.0 Risk / Vulnerability Assessment
State, Territorial, and Tribal Essential Functions (STTEFs) Section 2-2 AND State, Territorial, and Tribal Mission Essential Functions (STTEFs) Section 2-3	The STTEFs represent the primary focus of the senior State, territorial, and tribal leadership and are accomplished through the cooperative efforts of State, territorial, and tribal organizations, in conjunction with local governments, the private sector, and the public. The specific MEFs of the various States, territories, and tribes and their departments, agencies, and organizations should be identified and described by those individual and collective organizations. To ensure the successful accomplishment of the STTEFs, individual States, territories, and tribes should identify specific MEFs that must be performed during or resumed rapidly following a significant disruption to normal operations. The State, territorial, and tribal MEFs represent those functions that the States, territories and tribes identify as their mission priorities. The specific MEFs may vary between governing organizations, but they will reflect the functions that must be accomplished to assure the general health, safety, and welfare of the jurisdiction. The State, territorial, and tribal MEFs represent the limited set of specific missions that must be continued or resumed rapidly following a significant disruption to normal operations in order to provide for general health, safety, security, and well being of communities.	5.0 Essential Functions

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.	