



STATE OF CONNECTICUT
DEPARTMENT OF EMERGENCY SERVICES & PUBLIC PROTECTION
DIVISION OF EMERGENCY MANAGEMENT & HOMELAND SECURITY



State Agency All Hazards Continuity of Operations Plan (COOP)

(Annex to the *State of Connecticut - Emergency Management COOP Base Plan*)

Guidance and Plan Template, 2014

BACKGROUND

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

For the purpose of this All Hazards COOP (Annex to the State of Connecticut – Emergency Management COOP Base Plan), essential program functions are those activities that enable an agency or office to carry out emergency response actions, provide vital services, protect the safety and well-being of the citizens of the State, and maintain the economic base of the State.

The All Hazards COOP enhances the State’s readiness by focusing on the Executive Branch agencies/offices that support the overarching State essential functions for emergency response and recovery. These State essential functions are found listed in [Connecticut’s State Response Framework](#) (SRF) and are currently under review by State agencies for this planning process.

RELATIONSHIP TO OTHER STATE COOP PLANNING EFFORTS

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

Subsequent to the development of agency Influenza Pandemic COOPs, DAS has requested annually that agencies submit their plans and participate in training and exercises. In addition, some agencies have developed COOP for other types of events, such as loss of facilities, natural disasters, and other catastrophic events.

STATE INITIATIVE – All Hazards COOP Planning

As a first step in creating a state comprehensive all-hazards COOP, the State’s Primary Emergency Support Function (ESF) agencies have been tasked with developing an agency-specific All Hazards COOP.

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

- (1) Purpose, scope and/or goals and objectives;
- (2) Authority
- (3) Situation and assumptions;
- (4) Functional roles and responsibilities for internal and external agencies, organizations, departments and positions;
- (5) Logistics support and resource requirements necessary to implement plan;
- (6) Concept of operations; and
- (7) Plan maintenance.

In addition, the COOP plan should cover the following:

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

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

For the purposes for this new initiative of developing an All Hazards COOP, agencies are encouraged to add their current continuity plans (e.g. Influenza Pandemic, Natural Hazard Events, IT) as appendices. This All Hazards COOP does not replace the Influenza Pandemic COOP.

COOP TEMPLATE AND INSTRUCTIONS

The State of Connecticut's Department of Emergency Services and Public Protection, Division of Emergency Management and Homeland Security (DESPP/DEMHS) has developed this template document to assist you in preparing your Agency's All Hazards COOP (Annex to the State of Connecticut Emergency Management COOP Base Plan).

The template follows the traditional functional Emergency Operations Plan format detailed in the Federal Emergency Management Agency (FEMA) [National Preparedness Directorate's Comprehensive Preparedness Guide 101, Developing and Maintaining Emergency Operations Plans, dated November 2010](#). DESPP/DEMHS has made modifications to the FEMA template to make it more relevant to Connecticut's emergency operations and procedures.

This All Hazard COOP template provides instructions, guidance, and sample text for the development of continuity plans and programs in accordance with [Continuity Guidance Circular 1 \(CGC 1\), Continuity Guidance for Non-Federal Governments \(States, Territories, Tribes, and Local Government Jurisdictions\), dated July 2013](#), and [Continuity Guidance Circular 2 \(CGC 2\), Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process \(States, Territories, Tribes, and Local](#)

[Government Jurisdictions](#)), dated October 2013.

In this template, the information found in the pink boxes is from the FEMA guidance for that section. An example is provided below:

The introduction to the All Hazards COOP should explain the importance of continuity planning to the agency and why the agency is developing a continuity plan. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a continuity capability for the agency. Sample text for this section is provided below.

The text which will be located below the pink box is sample text. Agencies may use the sample text or use their own narrative to meet the intent of the section. Note: *Once agency-specific information is entered into the body of the template*, delete the pink box, italicized and bolded instructions found throughout the document. Page numbering has been omitted in this template to avoid the need to renumber the pages of the document. Please add page numbers in the Table of Contents section and to the page footers.

DEMHS ASSISTANCE

DEMHS Staff will be available to assist agencies in completing their Plans. Please contact Tessa Gutowski, DEMHS Planning Manager at tessa.gutowski@ct.gov or 860-250-3455 for questions that you may have or to request assistance.



**State of Connecticut
(Insert Agency Name)
All Hazards Continuity of Operations Plan
(Annex to the State of Connecticut – Emergency Management COOP Base Plan)**

Approvals

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

Approved: _____ **Date:** _____

[Title]

**State of Connecticut
(Insert Agency Name)
All Hazards Continuity of Operations Plan
(Annex to the Connecticut Emergency Management Continuity of Operations Base Plan)**

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I. PURPOSE, SCOPE, SITUATIONS, ASSUMPTIONS and OBJECTIVES

A. Purpose

The introduction to the All Hazards COOP should explain the importance of continuity planning to the agency and why the agency is developing a continuity plan. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a continuity capability for the agency. Sample text for this section is provided below.

The **[Agency Name]**'s mission is to **[enter mission statement]**. To accomplish this mission, the **[Agency Name]** must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the **[Agency Name]** All Hazards COOP to ensure the organization is capable of conducting its essential missions and functions under all hazards and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on the **[Agency Name]** missions, personnel, and facilities.

For the purpose of this All Hazards COOP, essential program functions are those activities that enable an agency or office to carry out emergency response actions, provide vital services, protect the safety and well-being of the citizens of the State, and maintain the economic base of the State. This All Hazards COOP also enhances the State's readiness by focusing on the Executive Branch agencies/offices support of the State's emergency response and recovery efforts as identified in the [State Response Framework](#) (SRF).

B. SCOPE

The scope should describe the applicability of the plan to the Agency as a whole, headquarters as well as subordinate activities, co-located and geographically dispersed, and to specific personnel groups in the Agency. It should also include the scope of the plan. Ideally, continuity plans should address the full spectrum of potential threats, crises, and emergencies (natural and man-made). Sample text for this section is provided below.

This All Hazards COOP applies to the functions, operations, and resources necessary to ensure the continuation of **[Agency Name]**'s essential functions in the event its normal operations at **[Name primary operating facility]** are disrupted or threatened with disruption. This All Hazards COOP applies to all **[Agency Name]** personnel at **[Facility Name]**. **[Agency Name]** staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

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

C. SITUATION OVERVIEW

The situation section should characterize the "planning environment," making it clear why a continuity plan is necessary. In this section, organizations should reference their risk assessment to summarize the hazards faced by their organization and the relative probability and impact of the hazards. Sample text for this section is provided below.

The State of Connecticut is vulnerable to a host of natural and human-made hazards as identified in the State's Hazard Identification and Risk Assessment (HIRA). (See the State of Connecticut Emergency

Management COOP Base Plan.) It is the policy of the State of Connecticut and the **[Agency Name]** to respond quickly in the event of an emergency or hazard in order to continue essential functions and to provide support to the citizens of Connecticut, other customers of the State, emergency management and response agencies, and other agencies or services that may be affected by the emergency.

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

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

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

D. PLANNING ASSUMPTIONS

This section should familiarize the reader with the underlying assumptions made during the planning process. Sample text for this section is provided below.

This Agency All Hazards COOP is based on the assumptions as those listed in the State of Connecticut Emergency Management COOP Base Plan and includes the following:

- The State of Connecticut has been impacted by natural and human caused hazards. This has resulted in severe impacts to people, property and the environment and has imposed significant challenges in the state's continuity of operations. Agency essential functions are susceptible to a full range of hazards (man-made, natural and technological).
- The **[Agency Name]** has considered its mission, statutory requirements, and emergency support function roles outlined in the Connecticut State Response Framework (SRF) and other agency specific emergency plans and has identified essential functions.
- An emergency condition may require the relocation of the **[Agency Name]**'s continuity personnel and or Incident Management Team (IMT) to the alternate/continuity facility at the **[facility name]**
- The **[alternate/continuity facility name]** will support continuity personnel and the continuation of the **[Agency Name]** essential functions by available communications and information systems within 12 hours from the time the All Hazards COOP is activated, for potentially up to a 30-day period or until normal operations can be resumed.
- In a widespread disaster, agency employees may need to take the appropriate steps to ensure the safety and security of their families prior to returning to work. This could have a negative impact on staff assignments.
- There may be disruptions in utility services including electric, gas, telecommunication, water and cable.

- Appropriate resources and funding should be available for the planning, implementation and maintenance of the COOP program. Required resources should be dedicated in a timely fashion following activation of the COOP.
- In compliance with the National Incident Management System (NIMS), and Homeland Security Presidential Directive (HSPD) - 5, and Governor’s Executive Directive # 34, all COOP program activities shall incorporate the principles of NIMS and the Incident Command System (ICS).
- **Add agency specific assumptions**

E. OBJECTIVES

All plans and procedures should list the objectives that the plans are designed to meet. Continuity planning objectives are identified in CGC 1. Sample text for this section is provided below.

The **[Agency Name]** continuity objectives are listed below:

- Ensuring that an organization can perform its essential functions under all conditions.
- Reducing the loss of life and minimizing property damage and loss.
- Executing a successful order of succession with accompanying authorities in the event a disruption renders that organization’s leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of office.
- Reducing or mitigating disruptions to operations.
- Ensuring there are facilities from where organizations can perform essential functions.
- Protecting personnel, facilities, equipment, records, and other assets critical to the performance of essential functions in the event of a disruption.
- Achieving the organization’s timely and orderly recovery and reconstitution from an emergency.
- Ensuring and validating continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise (TT&E) program and operational capability.

II. CONCEPT OF OPERATIONS

This section should explain how the organization will implement its COOP, and specifically, how it will address each continuity element. This section should be separated into four phases: readiness and preparedness, activation, continuity operations, and reconstitution operations.

[Agency Name] All Hazards COOP is maintained at a high level of preparedness and can be implemented without prior warning, fully implemented no later than 12 hours after initial activation, and provides guidance to sustain operations for up to 30 days.

Specific agency COOP objectives include the following:

- Enable staff to perform essential functions to prepare for and respond to the full spectrum of possible threats or emergencies as identified in the State of Connecticut Hazard Identification and Risk Assessment (HIRA).
- Enable staff to perform essential functions due to:
 - Loss of use facility and (such as damage to the building; IT systems failure);
 - Reduced workforce (such as due to pandemic flu); and
 - Catastrophic event (natural; human caused).
- Identify key COOP personnel and supporting staff.
- Ensure the continuity location can support COOP operations.
- Protect and maintain vital records and critical systems.

A. Direction and Control

During an activation of the COOP, **[Agency Name]** leadership maintains overall direction and control of agency operations but delegate responsibility for relocation, continuity, and reconstitution operations to the Incident Commander of the agency's Incident Management Team (IMT).

B. COOP Operational Phases

The COOP concept of operations is expressed in operational phases:

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

Phase I: Readiness and Preparedness

The **[Agency Name]** will participate in the full spectrum of readiness and preparedness activities to ensure personnel can continue essential functions in an all-hazard/threat environment.

a) Agency Readiness and Preparedness:

The **[Agency Name]** preparedness incorporates hazard/threat warning systems, which includes **[list threat and warning systems here]**.

b) Staff Readiness and Preparedness:

The **[Agency Name]** personnel will prepare for a continuity event and plan in advance for what to do in an emergency. Personnel are encouraged to develop a Family Support Plan to increase personal and family preparedness.

The **[Agency Name]** maintains drive-away kits. Continuity personnel are responsible for carrying the kits to the alternate/continuity facility or pre- positioning the kits at the alternate/continuity facility. **See Attachment 1. Agency Drive-Away Kits.**

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

Phase II: Activation and Relocation

Activation and Relocation occurs after a disruption to business processes triggers the activation of **[Agency Name]'s** All Hazards COOP. Relocation is triggered by any unsafe conditions at a primary location, or infrastructure issues such as loss of utilities or network connectivity for an extended duration, which would

make the site unusable. Activation without relocation can be triggered by personnel issues, such as pandemic flu, or an IT outage. Depending on the event, activation may include emergency response if required. Other phase activities are those that must precede restoring essential functions, such as assessing the incident's impact. If relocation is necessary, initiating the agency's alternate/continuity location activities would also occur during this phase. The Activation and Relocation phase will include the following activities:

- Assess the impact of the incident on agency operations
- Determine appropriate level of COOP activation
- Assess the need for relocation
- Initiate alert and notification procedures
- Coordinate relocation activities with key personnel

To ensure the ability to attain operational capability at continuity facilities and with minimal disruption to operations, the **[Agency Name]** will execute activation plans as described in the following sections.

a) Decision Process Matrix:

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

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

COOP activation is a scenario-driven process that allows flexible and scalable responses to the full spectrum of hazards/threats that could disrupt operations with or without warning and during work or non-work hours. COOP activation will not be required for all emergencies or disruptions, since other actions may be more appropriate.

The decision to activate the **[Agency Name]** COOP and related actions will be tailored for the situation and based on projected or actual impact and whether or not there is warning.

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

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

b) Alert and Notification Procedures:

The **Commissioner** or designated successor will notify the Agency Incident Management Team (IMT) of the emergency requiring COOP activation.

Insert notification steps here. Include methods of notification, name/group that initiates notification and required responses of all organization personnel upon notification.

The **[Agency Name]** personnel will notify family members, next of kin, and/or emergency contacts of COOP activation.

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

- Alternate/continuity facilities and on-site support teams with information regarding continuity activation, relocation status, and the anticipated duration of relocation
- The **[Agency Name]**'s Operations Center via **[include contact information]**, the **[Agency/Entity Name]** and other applicable elements/entities with information regarding continuity activation status, the **[Agency Name]**'s alternate/continuity facility, operational and communication status, and the anticipated duration of relocation
- All employees with instructions and guidance regarding the continuity activation
- **[Insert other points-of-contact, adjacent organizations, customers, stakeholders, and interdependent agencies here]**

c) Relocation Process:

Once the COOP is activated and personnel are notified, the **[Agency Name]** will relocate continuity personnel and Essential Records to the alternate/continuity facility (ies) if necessary. The **[Agency Name]** continuity personnel will deploy/relocate to the alternate/continuity facility (ies) to perform the **[Agency Name]**'s essential functions and other continuity-related tasks. A map and directions to the alternate/continuity facility will be included as part of the All Hazards COOP **See Attachment 2. Agency Alternate/Continuity Facility.**

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

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

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

- Advance team members, if applicable, will deploy to the designated alternate/continuity facility from their current location using **[insert method of transportation, such as privately owned**

vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees] at [insert time here, such as immediately, the time specified during notification, etc.].

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

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

The [Agency Name title/authority] will direct the [Agency Name]'s non-continuity personnel to move to [insert location, such as another facility, duty station, or home] until further notice.

In the event of an activation of the COOP, the [Agency Name] may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The [Insert office/title/authority] maintains the authority for emergency procurement. Instructions for these actions are found [insert instructions below or insert location of instructions if found in another document].

Upon activation of the COOP, the [Agency Name] will continue to operate at its primary operating facility until ordered to cease operations by the [insert authority] using [insert method of notification here]. At that time, essential functions will transfer to the alternate/continuity facility. The [Agency Name] should ensure that the COOP can be operational within 12 hours of plan activation.

The advance team will be first to arrive at the alternate/continuity facility to prepare the site for the arrival of the continuity personnel. Upon arrival at the alternate/continuity facility, the advance team will:

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

The Agency will conduct in-processing to ensure accountability. In-processing procedures are conducted at [insert exact location of in-processing] and will include: [insert steps to in-process continuity personnel here, including how to obtain the roster of continuity personnel and how the organization will reach individuals who have not in-processed for accountability, etc.]. In addition, the agency will identify all organization leadership available at the alternate/continuity facility.

Upon arrival at the alternate/continuity facility, the [Agency Name] continuity personnel will:

- Report immediately to [insert location] for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace as identified in [insert location] or as otherwise notified during the activation process

- Retrieve pre-positioned information and activate specialized systems or equipment
- Monitor the status of **[Agency Name]**'s personnel and resources
- Continue **[Agency Name]**'s essential functions
- Prepare and disseminate instructions and reports, as required
- Comply with any additional continuity reporting requirements with the **[Agency Name]**
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information
- **[Insert additional tasks here]**

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

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

During continuity operations, the **[Agency Name]** may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The **[Insert office/title/authority]** maintains the authority for emergency acquisition. Instructions for these actions are found **[insert instructions below or insert location of instructions if found in another document]**.

d) **Communications**

The **[Agency Name]** has identified available and redundant critical communications systems that are located at the primary operating facility and alternate/continuity facility. Further, the agency maintains fully capable continuity communications that support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. All necessary and required communications and IT capabilities should be operational within 12 hours of continuity activation.

Additional detailed information on the **[Agency Name]**'s communications systems and requirements is found in **Attachment 3. Agency Continuity Communications.**

Phase III: Continuity Operations

Activities for this phase are focused on restoring essential functions once the disaster situation has ended and all agency facilities within the scope of this plan have been secured or the agency is ready to provide essential functions from a continuity location. This phase includes the following activities to continue essential functions:

- Accounting for all agency personnel.
- Performing essential functions.
- Establishing communication with supporting and supported agencies and stakeholders.
- Preparing for the reconstitution of the agency.

a) **Orders of Succession and Delegations of Authority**

Orders of succession and delegations of authority are established for the **[Agency Name]** COOP Incident Management Team to ensure the roles and responsibilities of senior staff are effectively maintained

during times of emergency. Orders of succession ensure ongoing operations in the event a person in a leadership position is unavailable for a period of time. Delegations of authority specify who is authorized to make decisions or act on behalf of key personnel to ensure continuous operation of specific tasks.

b) Agency COOP Incident Management Team (IMT)

In the event of activation or partial activation of the COOP, a COOP Incident Management Team (IMT) has been identified and organized according to federal NIMS/ICS guidelines. The IMT consists of the Incident Commander, appropriate Command Support Staff personnel and General Staff, including the Section Chiefs assigned to the incident. The IMT focuses on preparing for possible incidents and, should they occur, resolving the incident, resuming or sustaining business functions in an orderly manner, and addressing essential functions on a priority basis.

To staff the COOP IMT, the **[Agency Name]** has identified key positions to provide management and technical expertise necessary to establish essential functions within 12 hours after the emergency event, and are identified below. Authorized successors have been identified for key management and technical positions within the agency.

Additional detailed information on the **[Agency Name]**'s IMT and requirements is found in **Attachment 4. Agency Incident Management Team (IMT).**

c) Continuity Personnel

In order to continue its essential functions, the **[Agency Name]** has determined the staff positions necessary to relocate under COOP activation. The **[Insert office/title]** is responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

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

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

Additional detailed information on the **[Agency Name]**'s key personnel is found in **Attachment 5. Agency Identification of Continuity Personnel – Point of Contact (POC) Roster**

d) Backup Personnel/Key Personnel

Each essential function has associated key personnel and positions that are necessary to ensure continuity of operations. Key positions are those positions necessary to carry out essential functions and fulfill the agency's mission. Because alternate facility space and support capabilities may be limited, personnel may need to be restricted to those who possess the skills and experience needed for the execution of essential functions. **See Attachment 6. Key Positions**

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

e) All Staff

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

- The **[Agency Name]**'s employees are expected to remain in contact with the **[insert office/title, such as supervisors]** during any facility closure or relocation situation. **[Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation]**
- The **[Agency Name]** ensures staff are aware of and familiar with Human Resources guidance in order to continue essential functions during an emergency. The **[Agency Name]** uses the following methods to increase awareness: **[Insert methods here, such as utilizing an intranet website or employee orientation briefing]**.

Accounting for all personnel during a continuity event is of utmost importance. In order to account for all staff, the **[Agency Name]** will **[insert accountability process here, such as call trees, an automated system, a 1-800 number, etc.]**. Accountability information is reported to the **[insert office/title]**.

An event that requires the activation of the COOP may personally affect the **[Agency Name]** staff. Therefore, the **[insert office]** has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special Human Resources concerns following a catastrophic disaster. These provisions and procedures are found at **[insert location]**.

f) Human Resources Considerations

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

The **[Agency Name]** appropriate IMT staff will work closely with the **[insert appropriate Human Resources office/title here]** to resolve human resources issues related to a continuity event. The **[Insert office/title]** serves as the **[Agency Name]** Human Resources liaison to work with the IMT when developing or updating the organization's emergency plans.

Further, the **[insert office/title]** communicates Human Resources guidance for emergencies (pay, leave/time off, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency.

g) Alternate/Continuity Facilities

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

h) Essential Functions

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

[Agency Name] essential function lists serve as operational guides to facilitate the relocation of key personnel to a continuity location and for the backup of critical systems and vital records so that the agency can continue operations. The level and manner of support needed to continue essential functions is dependent upon the nature of an event. In addition, performance of these functions often requires support services, such as IT systems. It is also critical to identify the interdependencies of essential functions.

[Agency Name] has identified and prioritized its essential functions. Functions given a higher priority are pivotal to resuming operations when a catastrophic event occur. ***See Attachment 8. Essential Functions.***

i) Critical Systems and Essential (Vital) Records

Essential resources are the equipment, communications, software, hardware and essential (vital) records, including documents, references and records (regardless of media type), needed to support essential functions under the full spectrum of emergencies and disasters. All essential resources must be protected from damage or destruction.

“Essential Records” refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support *external essential functions* during a continuity event. **[Agency Name]** has incorporated its Essential Records program into the overall continuity program, plans, and procedures.

The **[Agency Name]**'s official Essential Records program:

- Identifies and protects those records that specify how the organization will operate in an emergency or disaster
- Identifies those records necessary to the organization's continuing operations
- Identifies those records needed to protect the legal and financial rights of the organization

Within 12 hours of activation, continuity personnel at the alternate/continuity facility for the **[Agency Name]** should have access to the appropriate media for accessing Essential Records, including:

- A local area network
- Electronic versions of Essential Records
- Supporting information systems and data
- Internal and external email and email archives
- Paper copies of Essential Records
- **[Insert any other media here]**

Identifying Essential Records

The **[Agency Name]** has identified the records vital to its operations, and has assigned

responsibility for those records to the **[insert personnel or office here]**, which includes a combination of continuity personnel, personnel in the **[insert division/office title here]**, and records management personnel. *See Attachment 8 Essential Records Management for the list of [Agency Name] essential records.*

[Agency Name] maintains a complete inventory of Essential Records, along with the locations of and instructions on accessing those records. These records are located at **[insert location/ office]**. This inventory will be maintained at a back-up/offsite location located at **[insert location(s) here]** by **[insert office]** to ensure continuity if the primary operating facility is damaged, destroyed, or unavailable.

The **[Insert office]** developed and maintains an Essential Records plan packet or collection located at **[insert location/office]**. The packet or collection includes:

- A paper copy or electronic list of the **[Agency Name]** key organization personnel and continuity personnel with up-to-date telephone numbers
- An Essential Records inventory with the precise locations of Essential Records prepared by the **[insert office]**
- Updates to the Essential Records
- Necessary keys or access codes
- Listing of the access requirements and sources of equipment necessary to access the records
- The **[Agency Name]** alternate/continuity facility locations
- Lists of records recovery experts and vendors provided by the **[insert office]** and located at **[insert location]**
- A copy of the **[Organization Name]** COOPs
- **[Insert any other documents included in the packet here]**

For the above items, the **[insert office]** is responsible for providing access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines). These requirements and lists are found at the **[insert location/office]**.

This packet will be reviewed annually by the **[insert office]** with the date and names of the personnel conducting the review documented in writing to ensure that the information is current. A copy will be securely maintained at the **[Organization Name]** continuity facilities and **[insert any other locations here]**, so it is easily accessible to appropriate personnel when needed.

Protecting Essential Records

The protection of Essential Records is essential to ensuring the records are available during a continuity event, thus enabling an organization to perform their external essential functions. The **[Agency Name]** has conducted an Essential Records and database risk assessment to:

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

Phase IV: Reconstitution Operations

Reconstitution is the process of resuming normal operations. Emergency specific reconstitution planning should begin as soon as an agency All Hazards COOP is executed.

Reconstitution Actions:

- Form a reconstitution team.
- Develop space allocation and facility requirements.
- Coordinate with appropriate agencies and organizations to find suitable space, if the primary facilities are not usable.
- Develop a time-phased plan, listing functions and projects in order of priority for resuming normal operations.
- Develop procedures, as necessary, for restructuring the staff.
- Ensure the buildings are structurally safe and meet all occupancy regulations.

Within **[insert time period]** of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover the **[Agency Name]** primary operating facility after receiving approval from the appropriate State and local law enforcement and emergency services:

- **[Insert title]** will serve as the Reconstitution Manager for all phases of the reconstitution process

During continuity operations, **[insert office/title]** should determine the status of the primary operating facility affected by the event. Upon obtaining the status of the facility, **[Agency Name]** will determine how much time is needed to repair the primary operating facility and/or acquire a new facility. This determination is made in conjunction with **[insert offices and organizations here]**.

Reconstitution will commence when the **Commissioner** or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the COOP. Once the appropriate **[Agency Name]** authority has made this determination in coordination with other State, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

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

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

Upon a decision by the **[Agency Head]** or other authorized person that the **[Agency Name]** primary operating facility can be reoccupied or that **[Agency Name]** will be reestablished in a different facility:

- The **[Agency Name]** continuity coordinator or other authorized individual should notify the **[insert offices and organizations and contact information here]** when available, and other applicable operations centers with information regarding continuity activation status, the **[Agency Name]**

alternate/continuity facility, operational and communication status, and anticipated duration of relocation.

- The **[Insert office/title]** will develop space allocation and facility requirements.
- The **[Insert office/title]** will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using **[insert method of communication here]**.
- The **[Insert office/title]** will coordinate with the **[Agency Name]** and/or other applicable facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable.
- The **[Insert office/title]** will develop procedures, as necessary, for restructuring staff.

Upon verification that the required capabilities are available and operational and that the **[Agency Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility, the **[insert office/title]** will begin supervising a return of personnel, equipment, and documents to the primary operating facility or a move to a temporary or new permanent primary operating facility. The phase-down and return of personnel, functions, and equipment will follow an established priority-based plan; the **[Agency Name]** will develop return plans based on the incident and facility.

The **[Agency Name]** will continue to operate at its alternate/continuity facility until ordered to cease operations by the **[insert authority]** using **[insert method of notification here]**. At that time, essential functions will transfer to the primary operating facility. The **[Agency Name]** has developed plans to instruct personnel on how to resume normal operations as outlined below; the **[Agency Name]** will develop resumption plans based on the incident and facility.

The **[Insert office/title]** will identify any records affected by the incident by **[insert identification processes or contacts here]**. In addition, the **[insert office/title]** will effectively transition or recover Essential Records and databases, as well as other records that had not been designated as Essential Records, using the plan outlined below; the **[Agency Name]** will develop Essential Records transition and recovery plans based on the incident and facility within **[insert number]** hours of plan activation.

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining **[Agency Name]** staff at the alternate/continuity facility will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The **[Insert title or titles]** will oversee the orderly transition from the alternate/continuity facility of all **[Agency Name]** functions, personnel, equipment, and records to a new or restored primary operating facility.

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

III. SITUATIONAL AWARENESS AND REPORTING

This section should describe the required critical or essential information common to all continuity events. In general terms, it should identify the type of information needed, where it will come from, who will use it, how it will be shared, the format it will be provided in, and when (time) the information will be needed. Sample text for this section is provided below.

During a continuity event, the **[Agency Name]** will require the collection and dissemination of critical information. While specific incidents may create additional or specialized reporting requirements, the agency will at a minimum report information on personnel accountability, operational status and hazard information to their Incident Management Team (IMT) through the Agency's Emergency Command Center (ECC). This information and any other information deemed necessary to provide the State Unified Command with an accurate and up-to-date report on Agency preparedness, response, and recovery efforts will then be forwarded to the State EOC through situation reports as scheduled or as requested.

IV. BUDGETING AND ACQUISITION OF RESOURCES

The Budgeting and Acquisition section should identify the people, communications, facilities, infrastructure, and transportation requirements necessary to the successful implementation and management of an organization's continuity program. In addition, the organization should identify and provide funding and specific budgetary guidance and requirements for all levels of the organization, including subordinate components and state offices. This section aligns with the Administration, Finance, and Logistics section of the Comprehensive Preparedness Guide 101. Sample text for this section is provided below.

The **[Agency Name]** budgets for and acquires those resources and capabilities essential to continuity operations. The **[Agency Name]** budgets for continuity resources and capabilities in accordance with the **[Agency policy title(s)]** and other applicable directives and provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.

For those contracts vital to the support of Agency essential functions, the **[Agency Name]** has ensured contractor statements of work include the provision to provide staffing, services, and resources during emergency conditions. A list of vital contracts is found at **[insert location]** and maintained by the **[insert office/title]**. During an emergency situation, the **[insert office/title]** is responsible for oversight and handling of emergency work by contractors.

V. MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN

Organizations should develop a Continuity Multi-Year Strategy and Program Management Plan that provides for the development, maintenance, and annual review of Continuity capabilities requiring an organization to consider: Essential Functions performance; short- and long-term goals/objectives for plans/procedures; issues, concerns, or potential obstacles to implementing their program and strategies for addressing them; planning/TT&E activities and milestones for accomplishing; ERG members, infrastructure, communications, transportation, and other resources needed to support the program; budgetary requirements; risk management principles and primary and Alternate/continuity facility risk assessments to ensure appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences; geographic dispersion into the organization's normal daily

operations; security strategies addressing personnel, physical, and information security to protect plans, personnel, facilities, and capabilities; and a CAP. For additional information, see CGC 1, Annex C.

[Agency Name] has developed a Continuity strategy that provides for the development, maintenance, and annual review of Continuity capabilities. **See Attachment 9. Multiyear Strategy and Program Management Plan.**

A. Plan Development and Maintenance

This section should describe the process the organization uses to maintain the currency of the COOP. It identifies who is responsible for plan currency, how often the plan will be reviewed and updated, and describes the coordination process. Sample text for this section is provided below.

The [Agency Name, office, title] is responsible for maintaining the [Agency Name] COOP.

The COOP, [Agency Name] essential functions, and supporting activities, will be reviewed by the [insert office name] and updated annually from the date of publication as part of the maintenance of continuity plans and procedures. The [Office Name] is responsible for the annual plan review and update. In addition, the plan will be updated or modified when there are significant organizational, procedural changes, or other events that impact continuity processes or procedures. Comments or suggestions for improving this plan may be provided to the [Office Name].

B. Annual Review

Once a year, or as needed, [Agency Name] reviews its' All Hazards COOP, components, and supporting elements, and makes any required updates or changes.

All Hazards COOP: Element Reviewed	Review Date	Reviewed by
Essential Functions		
Incident Management Team		
Alternate/Continuity Facility		
Communications		
Essential Records		

C. Agency All Hazards COOP Record of Changes

The [Agency Name] All Hazards COOP has been reviewed and updates have been made. Details are outlined in the following chart.

Change Number	Section	Date of Change	Individual Making Change	Description of Change

D. Record of Distribution

The [Agency Name] All Hazards COOP has been distributed to:

Date of Delivery	No. of Copies Delivered	Method of Delivery (Electronic, US Mail, hand delivered, etc.)	Name, Title, Organization of Receiver

E. Security and Privacy Statement

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

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

VI. Testing, Training and Exercising

This section should focus on the organization’s TT&E program. All organizations should develop and maintain a continuity TT&E program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continued performance of their essential functions. Sample text for this section is provided below.

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

VII. AUTHORITIES AND REFERENCES

The key authorities and references on which the organization’s continuity plan is based should be listed here.

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

[Agency Name] list of emergency authorities:

ATTACHMENTS

Attachment 1 Drive Away Kit Contents

Attachment 2 Agency Alternate/Continuity Facility(ies)

Attachment 3 Agency Continuity Communications

Attachment 4 Incident Management Team (Leadership and Staff)

Attachment 5 Identification of Continuity Personnel – Point of Contact (POC) Roster

Attachment 6 Key Positions

Attachment 7 Essential Functions

Attachment 8 Essential Records Management

Attachment 9 Multiyear Strategy and Program Management Plan

Attachment 10 Test, Training and Exercises

Attachment 1

DRIVE AWAY KIT CONTENTS

Drive-away kits are pre-packaged, up-to-date kits containing equipment, reference material, personnel items and logistical support items needed to perform an agency's essential functions. Even with a well-equipped continuity location, drive-away kits are required to transfer up-to-date data and other critical information and equipment.

The COOP drive-away kits will comprise only those essential items that cannot be effectively maintained, in automated or paper format, at a continuity location. Its inventoried contents will be maintained as current through monthly updating by the Agency's key personnel.

Suggested Contents

There are two types of drive-away kits: professional and personal. The following are suggested items for each kit.

Professional Drive-Away Kit

- Standard operating procedures, emergency plans, operations orders or regulations that is not already pre-positioned at a continuity location including, but not limited to, the following:
 - Continuity of Operations (COOP) Annex;
 - Current Internal/External Call Lists;
 - Formatted computer diskettes/CD-ROMs/memory sticks;
 - POC, fax, telephone, and e-mail contacts list;
 - General office supplies (small amount);
 - Cellular telephone, Blackberry, Nextel, PDA device;
 - Office telephone contact list;
 - Current equipment report;
 - Current software report;
 - Current vital records, files and database report.

Personal Drive-Away Kit

- Small first aid kit;
- Change of clothing;
- Personal hygiene items;
- Prescription drugs;
- Credit/bank card;
- Cash;
- Food;
- Personal hygiene items; and
- Animal care needs, including food, medicine, blankets and toys.

Transport

- Key personnel are responsible for transporting their drive-away kits to the continuity location.

Attachment 2

Agency Alternate/Continuity Facility(ies)

All organizations should identify and maintain at least one alternate/continuity facility, which could include alternate uses of existing facilities or virtual office options, for the relocation of a limited number of the organization's key leaders and staff, located where the potential disruption of the organization's ability to initiate and sustain operations is minimized. This section should explain the significance of identifying an alternate/continuity facility, the requirements for determining an alternate/continuity facility, and the advantages and disadvantages of each location. Sample text for this section is provided below.

Alternate/continuity facility Information

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

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

The **[Agency Name]** has designated alternate/continuity facility(ies) as part of its COOP and has prepared continuity personnel for the possibility of unannounced relocation to the site(s) to continue performance of essential functions

The **[Agency Name]** **[does/does not]** maintain MOAs/MOUs and reviews the MOAs/MOUs annually, as applicable.

*If MOAs/MOUs are necessary, include the following in your plan: An MOA/MOU is necessary because the **[Agency Name]** is **[list reasons, e.g. co-located with another agency]**. A copy of the MOA/MOU is found at **[insert location]** and maintained by the **[insert office name]**.*

The **[Agency Name]** alternate/continuity facility is located at **[facility name and address]**. A map of the surrounding area, including directions and route from the primary operating facility, is located at **[below/list location]**. Additional facility details are as follows:

- (1) This facility is **[rented/owned]** by the **[Agency Name]**.
- (2) **[Important contact information for the site, including security, medical, and on-site personnel]**
- (3) **[Security and access requirements]**
- (4) **[Medical support at or near the site]**
- (5) **[Other amenities available at or near the site, including restaurants, stores, banks, and gas stations]**

The **[Agency Name]** alternate/continuity facility(ies) provide the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

- (1) Space and equipment, including computer equipment and software. The alternate/continuity facility is able to accommodate **[insert number]** personnel. Facility floor plans, equipment inventory, and **[insert other applicable documents]** are found at **[insert location]**.
- (2) Capability to perform external essential functions within 12 hours of plan activation for up to 30 days or until normal operations can be resumed.
- (3) Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[insert location]** from the **[insert office or personnel name]**.
- (4) Consideration for health, safety, security, and emotional well-being of personnel.
- (5) Considerations available at the alternate/continuity facility include **[insert considerations, such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security]**.
- (6) Interoperable communications for effective interaction. Additional information on continuity communications is found **[insert location]** in this plan.
- (7) Capabilities to access and use Essential Records. Additional information on accessing Essential Records is found at **[insert location]** in this plan.
- (8) Systems and configurations that are used in daily activities. IT support at the alternate/continuity facility is **[insert access to IT support]**. Details on the systems and configurations are available at **[insert location]** from the **[insert office or personnel name]**.
- (9) Emergency/back-up power capability. Details on the power capability are available at **[insert location]** from the **[insert office or personnel name]**.

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

Alternate/continuity facility Logistics

The **[Agency Name]**'s continuity facilities maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. These site preparation and activation plans are **[detailed below or insert document name and location]**.

The **[Agency Name]** maintains a transportation support plan that describes procedures for no-warning and with-warning events.

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

Alternate/continuity facility Orientation

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

Attachment 3

AGENCY CONTINUITY COMMUNICATIONS

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

The **[Agency Name]** has identified available and redundant critical communication systems at the alternate/continuity facility. Further, the **[Agency Name]** maintains fully capable continuity communications that could support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. These systems provide the ability to communicate within and outside the organization and are found at **[insert location]**.

Communication System	Support to Essential Function	Current Provider	Specification	Alternate Provider	Special Notes
Non-secure Phones					
Secure Phones					
Fax Lines					
Cellular Phones					
Satellite					
Pagers					
E-Mail					
Internet Access					
Data Lines					
GETS Cards					
Other					

Attachment 4

INCIDENT MANAGEMENT TEAM (LEADERSHIP AND STAFF)

This section should outline the plans, procedures, and policies to safeguard and protect leadership and staff, including orders of succession, delegations of authority, and human resources.

Agency COOP Incident Management Team (IMT)

In the event of activation or partial activation of the COOP, a COOP Incident Management Team (IMT) has been identified and organized according to federal NIMS/ICS guidelines. The IMT consists of the Incident Commander, appropriate Command Support Staff personnel and General Staff, including the Section Chiefs assigned to the incident. The IMT focuses on preparing for possible incidents and, should they occur, resolving the incident, resuming or sustaining business functions in an orderly manner, and addressing essential functions on a priority basis.

To staff the COOP IMT, the [insert name of agency] has identified key positions to provide management and technical expertise necessary to establish essential functions within 12 hours after the emergency event, and are identified below. Authorized successors have been identified for key management and technical positions within the agency. *Positions should be three deep whenever possible.*

IMT Position	Name
Agency Head	
Deputy	Successor #1
Deputy	Successor #2
Incident Commander	
Deputy	Successor #1
Deputy	Successor #2
Planning Section Chief	
Deputy	Successor #1
Deputy	Successor #2
Operations Section Chief	
Deputy	Successor #1
Deputy	Successor #2
Logistics Section Chief	
Deputy	Successor #1
Deputy	Successor #2
Administration Section Chief	
Deputy	Successor #1
Deputy	Successor #2
Finance Officer	
Deputy	Successor #1
Deputy	Successor #2
Human Resources Officer	
Deputy	Successor #1
Deputy	Successor #2
Legal Counsel	
Deputy	Successor #1

Deputy	Successor #2
Public Information Officer	
Deputy	Successor #1
Deputy	Successor #2
EOC Liaison Officer	
Deputy	Successor #1
Deputy	Successor #2
Safety Officer	
Deputy	Successor #1
Deputy	Successor #2
Security Officer	
Deputy	Successor #1
Deputy	Successor #2

Roles and Responsibilities of the IMT

a. GENERAL STAFF

Incident Commander (IC)

The individual who is responsible for all incident action plans and activities to sustain essential functions and services. These include the development of strategies and tactics before and execution of action plans in the event of an incident, as well as the ordering and the release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site. In the context of the Continuity of Operations Plans, the Incident Commander reports to the Agency Head or equivalent agency executive position.

Deputy

A fully qualified individual who, in the absence of a superior, can be delegated the authority to manage a functional operation or perform a specific task. In some cases, a deputy can act as relief for a superior and, therefore, must be fully qualified in the position. Deputies can be assigned to the Incident Commander, Command Support Staff and the Section Chief positions.

Administration Section Chief

The Member of the Incident Command General Staff and leader of the Administration Section, which in the context of the Continuity of Operations Program, is responsible for internal processes within the Agency, including financial and human resource functions, which are necessary to enable the essential functions being addressed by the Operations Section. The Administration Section sustains or recovers processes to maintain the fiscal integrity of the Agency and ensure that essential human resource processes are sustained. The Administration Section Chief works closely with the Operations and Logistics Sections to identify requirements and assess available options.

- **Administration Section Team Leads**

Qualified member of the Incident Command General Staff who reports to the Administration Section Chief; individual responsible for the coordination of the initial action plan execution and recovery efforts for one of the Administration Section Teams. Section Team Leaders are responsible for pre-disaster preparedness, disaster response coordination and post-disaster corrective action based on lessons learned for the functions that are part of the normal operational responsibilities of the work group. In NIMS these Team Leaders often head

Branches or Divisions. Section Chiefs will determine the organization appropriate under respective Sections.

Logistics Section Chief

The member of the Incident Command General Staff and leader of the Logistics Section, which in the context of the Continuity of Operations Program, is responsible for the resources and processes needed to sustain or recreate the work environment for Operations and Administration Section functions, including facility, technology, equipment and supplies. The Logistics Section Chief addresses plant, tool, technology and information security (including HIPAA) requirements for the Incident Command, working closely with the Operations and Administration Sections to identify requirements and assess available options

- **Logistics Section Team Leads**

Qualified member of the Incident Command General Staff who reports to the Logistics Section Chief. Responsible for the coordination of the initial action plan and recovery efforts of one of the Logistics Section Teams. Section Team Leaders are responsible for pre-disaster preparedness, disaster action plan coordination and post-disaster corrective action based on lessons learned for the functions that are part of the normal operational responsibilities of the work group. In NIMS these Team Leaders often head Branches or Divisions. Section Chiefs will determine the organization appropriate under respective Sections.

Operations Section Chief

The member of the Incident Command General Staff and leader of the Operations Section, who is responsible for the sustenance or recovery of the functions within the agency that serve the citizens of the state. The Operations Section Chief directly manages all incident tactical activities and implements the Incident Action Plan (IAP). The Operations Section Chief may have one or more Deputies, who are qualified to assume these responsibilities. This is recommended where multiple shifts are needed, as well as for succession planning

- **Operation Section Team Leads**

Qualified member of the Incident Command General Staff, reporting to the Operations Section Chief. Individual responsible for the coordination of the initial action plan and recovery efforts of one of the Operations Section Teams. Section Team Leaders are responsible for pre-disaster preparedness, disaster action plan coordination and post-disaster corrective action based on lessons learned for the functions that are part of the normal operational responsibilities of the work group. In NIMS these Team Leaders often head Branches or Divisions. Section Chiefs will determine the organization appropriate under respective Sections.

Planning Section Chief

The member of the Incident Command General Staff and leader of the Planning Section, who is responsible for the development of the COOP document, working closely with the Incident Commander, General Staff (other Section Chiefs) and Command Support Staff to ensure essential functions and their resource requirements are identified, that preparatory actions are taken and that communications information needed to execute the COOP has been captured. In the continuity plan action period, the Planning Section Chief is to serve as a coach to Incident Command and to ensure that regular crisis action plan review sessions are held, that outstanding issues are identified, that appropriate alternatives are considered and that action assignments are clearly distributed. Planning Section Chief may have one or more Deputies, who are qualified to assume these responsibilities. This is recommended where multiple shifts are needed, as well as for succession planning.

b. Command Support Staff

In an incident management organization, the Command Support Staff consists of special staff positions of Public Information Officer, Safety Officer, Human Resources Officer, Finance Officer, Legal Counsel and EOC Liaison Officer and other positions as required, who report directly to the Incident Commander. They may have an assistant or assistants, as needed.

EOC Liaison Officer (ELO)

The member of the Incident Command Support Team who provides a liaison between the Agency and the State's Department of Emergency Management and Homeland Security (DEMHS) Department, especially when DEMHS has elected to activate its Emergency Operations Center (EOC). A close working relationship between the Agency and the EOC is required for timely communication and action appropriate to directives received. The EOC Liaison Officer will represent the Agency at the EOC and establish ongoing communications and scheduled status reviews with the Agency Incident Command.

Finance Officer (FO)

The member of the Incident Command Support Team who provides financial planning and management support to the Incident Commander. Examples of support would include arrangements for emergency funding, financial analysis, financial record keeping, petty cash management and financial reporting. The FO will have a COOP relationship with DAS and OPM.

Human Resources Officer (HRO)

The member of the Incident Command Support Team who is to provide human resources advice and counsel to the Incident Commander. Examples of support would include development of plans to assist employees affected by the incident and guidance on union or bargaining unit issues raised by the incident or requirements to respond to the incident. The HRO will have a COOP relationship with DAS and OLR and may assume some of the Safety Officer responsibilities.

Legal Counsel (LC)

The member of the Incident Command Support Team who provides legal counsel to the Incident Commander. Examples of support would include advice relative to Agency jurisdiction and contractual obligations. The LC may also be asked to review any public statements that are to be issued by the Public Information Officer (PIO) or provide opinion and guidance on employee relations based issues or issues that relate to the Agency mission and the public. The LC will have a COOP relationship with the Attorney General's Office, the Office of the Governor and the Judicial Branch.

Public Information Officer (PIO)

The member of the Incident Command Support Team who is responsible for drafting and issuing all public announcements, making all press releases and giving all interviews with the communications media relative to the incident and the Agency's action plan to address the situation. The PIO establishes communications with PIOs in other State Agencies and the Governor's Media Office to convey situation status, progress toward resolving the incident and any actions needed in support of or to address the situation. The PIO works directly with the Incident Commander (IC) and Agency Head on all sensitive communications and may seek advice and counsel from other members of the Command Support Staff on legal or personnel matters and from the Section Chiefs on background relating to the situation and the actions the Agency are taking.

Safety Officer

The member of the Incident Command Support Team who is responsible for the health and medical safety of Agency personnel. In the context of the Continuity of Operations Plan, the Safety Officer is to advise on steps to reduce the exposure of staff to pathogens and to make reports and recommendations to and receive and address recommendations from the Department of Public Health. This role is not expected in all Agency COOP's; it is appropriate for those Agencies that are responsible for residential care of or that must physically interact with citizens of the State.

Security Officer

The member of the Incident Command Support Team who is responsible for the physical security of Agency personnel and the Public within the custody of the Agency. In the context of an Influenza Pandemic, the Security Officer is to advise on steps to protect staff and residents / clients from unintended or malicious activities that may cause injury or death and to make reports and recommendations to and receive and address recommendations from the State Police, as appropriate to the incident.

Attachment 5

IDENTIFICATION OF CONTINUITY PERSONNEL – POINT OF CONTACT (POC) ROSTER

Once essential functions are identified, the organization should determine the personnel positions that are fully equipped and authorized to perform these functions. Position titles should be used rather than names since personnel change, but titles generally do not. Once these positions are identified, the organization should establish and maintain a POC roster of trained continuity personnel attached to the applicable positions. Rosters, at a minimum, should include names and home, work, and cellular telephone numbers, as applicable. In addition, organizations should identify replacement personnel and augmenters, as necessary. Organizations should consider maintaining this roster separate from the Continuity Plan or as an annex due to the need for constant revision and for privacy concerns. Sample text for this section is provided below.

In order to continue its essential functions, the **[Agency Name]** has determined the staff positions necessary to relocate under COOP activation. The **[Insert office/title]** is responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

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

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

Attachment 6

KEY POSITIONS

This section should include additional delineation of continuity responsibilities of each key staff position. Sample text for this section is provided below.

[Agency Name] has identified Key staff positions with continuity responsibilities .

SAMPLE

The following table shows examples of some continuity responsibilities.

Position	Responsibilities
Director	<ul style="list-style-type: none">• Provide strategic leadership and overarching policy direction for the continuity program• Implement the COOP when necessary, or when directed by a higher authority• Update and promulgate orders of succession and delegations of authority• Ensure adequate funding is available for emergency operations• Ensure all organization components participate in continuity exercises
Communications Manager	<ul style="list-style-type: none">• Update telephone rosters monthly• Conduct alert and notification tests
Records Manager	<ul style="list-style-type: none">• Review status of Essential Records, files, and databases
Training Manager	<ul style="list-style-type: none">• Develop and lead Continuity training• Plan Continuity exercises
Continuity Personnel	<ul style="list-style-type: none">• Be prepared to deploy and support organization essential functions in the event of COOP implementation• Provide current contact information to manager• Be familiar with continuity planning and know individual roles and responsibilities in the event of COOP activation• Participate in continuity training and exercises as directed• Have a telework agreement for this position, if applicable

Attachment 7

ESSENTIAL FUNCTIONS

IDENTIFICATION OF ESSENTIAL FUNCTIONS

For the purpose of the All Hazards Continuity of Operation Plan (COOP), essential program functions are those activities that enable an agency or office to carry out emergency response actions, provide vital services, protect the safety and well-being of the citizens of the State, and maintain the economic base of the State. This Plan enhances the State's readiness by focusing on the Executive Branch agencies/offices to support the overarching State emergency response and recovery efforts.

Mission Essential Functions include the following:

Recovery Time Objectives
Recovery Time Objective: Uninterruptible Functions <1 day
•
•
Recovery Time Objective: Critical Functions ≥ 2 to 3 days
•
•
Recovery Time Objective: Ongoing Functions ≥ 4 to 7 days
•
•

Attachment 9

MULTIYEAR STRATEGY AND PROGRAM MANAGEMENT PLAN

Sample (from FEMA)

Activity	Tasks	Frequency
Plan update and certification	<ul style="list-style-type: none"> • Review entire plan for accuracy • Incorporate lessons learned and changes in policy • Manage distribution of plan updates 	Annually
Maintain and update the IMT/ Orders of Succession	<ul style="list-style-type: none"> • Obtain names of current incumbents and successors • Update delegations of authorities 	Annually
Update checklists	<ul style="list-style-type: none"> • Update and revise checklists • Ensure annual update/validation 	Annually
Appoint new team members key positions	<ul style="list-style-type: none"> • Review qualification requirements • Issue appointment letters • Schedule new member orientation 	As needed
Maintain alternate worksite readiness	<ul style="list-style-type: none"> • Test all systems • Verify access codes and systems • Cycle supplies and equipment as needed 	Quarterly
Review/update supporting MOUs/MOAs	<ul style="list-style-type: none"> • Review MOUs/MOAs for currency and new needs • Incorporate revisions, as required • Obtain signatures of reviewing authorities 	Annually
Maintain emergency relocation site readiness	<ul style="list-style-type: none"> • Check all systems • Verify accessibility • Cycle supplies and equipment, as necessary 	Monthly
Train new key personnel	<ul style="list-style-type: none"> • Provide orientation • Schedule participation in training and exercises 	Within 30 days of appointment
Orient new policy officials and senior management	<ul style="list-style-type: none"> • Brief officials on COOP philosophy • Brief each official on his/her COOP responsibilities 	Within 30 days of appointment
Monitor and maintain vital records management program	<ul style="list-style-type: none"> • Monitor volume of materials • Update/remove files 	Ongoing
Plan and conduct exercises	<ul style="list-style-type: none"> • Conduct internal exercises • Conduct joint exercises with agencies • Support and participate in interagency exercises 	Annually/as needed

Attachment 10

TEST, TRAINING, AND EXERCISES PROGRAM

Sample

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems	✓			
Test alert, notification, and activation procedures for all continuity personnel		✓		
Test primary and back-up infrastructure systems and services at continuity facilities			✓	
Test capabilities to perform essential functions			✓	
Test plans for recovering Essential Records, critical information systems, services, and data			✓	
Test and exercise of required physical security capabilities at continuity facilities			✓	
Test internal and external interdependencies with respect to performance of essential functions			✓	
Train continuity personnel on roles and responsibilities			✓	
Conduct continuity awareness briefings or orientation for the entire workforce			✓	
Train organization's leadership on essential functions			✓	
Train personnel on all reconstitution plans and procedures			✓	
Allow opportunity for continuity personnel to demonstrate familiarity with continuity plans and procedures and demonstrate organization's capability to continue essential functions			✓	
Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities			✓	
Conduct assessment of organization's continuity TT&E programs and continuity plans and programs			✓	
Report findings of all annual assessments to the [insert office/position title]			✓	
Conduct successor training for all organization personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation			✓	

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Train on the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation for all staff involved in the Essential Records program			✓	
Test capabilities for protecting classified and unclassified Essential Records and for providing access to them from the continuity facility			✓	
Train on an organization's devolution option for continuity, addressing how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency			✓	
Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities, existing facilities, or virtual offices				✓
Allow opportunity to demonstrate intra- and interagency continuity communications capability				✓
Allow opportunity to demonstrate back-up data and records required for supporting essential functions at continuity facilities are sufficient, complete, and current				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures				✓

HAZARD SPECIFIC APPENDICES

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

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