

All Hazards Emergency Management Continuity of Operations Base Plan

Topic 1: Agency COOP Incident Management Team

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 each agency has identified key positions to provide management and technical expertise necessary to establish essential functions within 12 hours after the emergency event, and is identified below. Authorized successors have been identified for key management and technical positions within the agency. *Positions should be three deep whenever possible.*

- **Activity: Review your agency's current COOP IMT and update as necessary. Detailed definitions of each position below can be found in your agency's Pandemic Influenza Continuity of Operations Plan. Complete Attachment A.**

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AGENCY ANNEX
Attachment A - Agency COOP Incident Management Team

Agency:

Date:

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

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Topic 2: Mission Essential Functions

Essential functions are the activities that cannot be deferred during an emergency. These activities must be performed continuously or resumed quickly following a disruption. Essential functions are important and urgent! They serve as key continuity planning factors necessary to determine appropriate staffing, communications, essential records, facilities, training, and other requirements.

Keep in mind the distinction between **essential** and **important (non-essential)** functions. There are many important functions that can be deferred until after a crisis. The reason an organization defers activities until later is to free up resources that allow it to focus on those things that cannot be deferred. Note: In many cases, legally mandated functions will be essential.

➤ **Activity: Review, discuss and make recommendations for changes to your agency's essential functions as identified in the documents cited below. Complete Attachment B.**

1. Review your agency specific roles and responsibilities as found in the State Response Framework (SRF) (Section - State Response Framework Concepts; C. Responsibilities). The link to the plan is: http://www.ct.gov/demhs/lib/demhs/ct_srf_aug_2011.pdf
2. Review your agency functions as previously identified in your agency's latest Pandemic Influenza COOP. Paying particular attention to the following:
 - Uninterruptible Functions (Recovery Time Objective < 1 Day)
 - Critical Functions (Recovery Time Objective ≥ 2 - 5 Days)
 - Ongoing Functions (Recovery Time Objectives ≥ 1 – 2 Weeks)
3. Review the State of Connecticut's Emergency Support Function (ESF) chart. Make sure your agency is listed appropriately as either primary or support for all applicable ESF(s).
4. Based on your review of documents, develop a comprehensive list of your agency essential functions. Note: The compilation of essential functions identified in this activity will be used in the development of your agency's All Hazards COOP.

Note for more information on Essential functions please consider taking the FEMA Independent Study Course - IS-526: Mission Essential Functions (MEF) Workshop <http://emilms.fema.gov/is526/index.htm>

The MEF Workshop is to assist Federal, State, Territorial, Local and Tribal levels of government continuity personnel develop Essential Functions to support continuity of essential operations during and following a significant disruption to normal operations and reconstitution.

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**AGENCY ANNEX
Attachment B - Mission Essential Functions**

Agency:

Date:

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
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Topic 3: Essential Records

Due to the essential nature of the services provided by government, public agencies must continue to operate regardless of conditions during an emergency or disaster. Emergencies can be small, like a burst pipe within an office or storage area; mid-sized, like a propane tank leak that forces the closure of a building for multiple days; or large scale, like the tornadoes, hurricanes, snow storms and power outages that Connecticut has recently experienced. Each one of these events could and has had an impact on public records. Essential Records are those public records necessary for the continuity of government operations during or immediately following a disaster or emergency situation.

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

- **Activity: Based on your organization’s essential functions identify your organization’s essential records. Enter the form of the record (hardcopy, electronic, etc.). Check off the appropriate box to indicate if the record is already at the continuity (alternate) facility or if it will be hand carried when needed. Indicate whether or not the record is stored at multiple sites and how often the record is reviewed and updated. Complete Attachment C.**

The Connecticut Department of Administrative Services (DAS) conducts courses on essential records protection for disaster and continuity planning. Staff members of State agencies listed in the State Response Framework should take this training opportunity if they haven’t done so already. To see who in your agency has taken the Essential Records training please contact Peggy Zabawar at peggy.zabawar@ct.gov.

The Essential Records program, administered by the State Library Office of the Public Records Administrator, in accordance with Sec. 11-8(a) of the General Statutes of Connecticut, supports the identification and preservation of essential records of the state and of its political subdivisions. For assistance in identifying and preserving state records essential for the continuity of government operations during or immediately following a disaster or emergency situation contact: Lizette Pelletier at lizette.pelletier@ct.gov.

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Topic 4: Continuity Communications

Communication systems are needed to ensure connectivity during crisis and disaster conditions. In addition, the ability of an organization to execute its essential functions at its 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.

- **Activity: Address communications systems needed to ensure connectivity during crisis and disaster conditions. Keep in mind that necessary and required communications and IT capabilities should be operational within 12 hours of activation. Complete Attachment D.**

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AGENCY ANNEX
Attachment D – Continuity Communications

Agency:
Date:

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					

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Topic 5: Continuity/Alternate Facilities

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.

- **Activity: Identify at least one continuity/alternate facility, which could include alternate uses of existing facilities or virtual office options, for the relocation of a limited number of your organization's key leaders and staff. The facility should be located where the potential disruption of the organization's ability to initiate and sustain operations is minimized. If this facility is not under your jurisdiction, consideration should be made with regards to securing formal agreements. Complete Attachment E.**

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**AGENCY ANNEX
Attachment E – Continuity/Alternate Facilities**

Agency:

Date:

The following information is provided for the Agency's Continuity/Alternate Facility (ies):

- 1) Alternate Facility Name:**

- 2) Address:**

- 3) Capacity:**

- 4) Equipment/Systems already on-site:**

- 5) If not under your jurisdiction, identify if formal agreement has been secured (i.e., MOA):**