Organizational Title

Continuity of Operations Plan

**Possible address location**

**Effective as of: June 30, 2016**

Notice of Changes

All changes are to be annotated on the master copy of the Continuity of Operations Plan. Should changes be significant in nature, updates shall be made to applicable pages. If not, changes will be reviewed and incorporated into the Plan during the next scheduled update.

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# Executive Summary

xxx

Promulgation

Under the provisions outlined in 24-33.5-1609 C.R.S. and further described in the Code of Colorado Regulations 8 CCR 1507-40, I hereby approve the Continuity of Operations Plan for xxx.

Signature Date

Title

**I. Introduction**

Continuity of Operations is an effort within individual departments, divisions, and agencies to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternate facilities, personnel, resources, interoperable communications, and backup of vital records / databases.

# **II.** **Purpose**

# **III. Applicability and Scope**

# **IV. Planning Assumptions**

# **V. Objectives**

# **VII. Elements of a Viable Continuity Capability**

A. Program Management: This plan recognizes that resiliency is directly related to its continuity capability and its ability to perform essential functions continuously. Continuity Program Management is built on the pillars of leadership, staff, communications and facilities. Utilizing the Federal Government’s standardized continuity program management cycle ensures consistency across all State, local and Tribal continuity programs. The cycle establishes consistent performance metrics, promulgates best practices and facilitates consistent cross-organization continuity evaluations.

B. Risk Management: In the face of multiple and diverse catastrophic possibilities, it is accepted that risk is a permanent condition. Risk management is the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken.

C. Budgeting and Acquisition of Resources: It is critical for organizational resilience to identify the people, communications, facilities, infrastructure, and transportation requirements necessary for the successful implementation and management of an organization’s continuity program. To support these programs, it is necessary to align and allocate the budgetary resources needed to acquire and then implement these requirements. Through the budgeting and planning process, an organization’s leaders and staff will ensure the availability and resilience of critical continuity resources needed to continue performing the organization’s essential functions before, during, and after a continuity activation.

D. Mission Essential Functions (MEFS) and Essential Supporting Activities (ESAs): The identification and prioritization of essential functions is a prerequisite for continuity planning because they establish the planning parameters that drive the Agency’s efforts in all other planning and preparedness areas. During an event that disrupts or has the potential to disrupt normal activities and that necessitates the activation of continuity plans, the resource and staff available to the Agency will likely be limited and therefore the agency will not be able to perform all of its normal governmental functions. See Annex A - Essential Functions / Essential Supporting Activities

E. Orders of Succession: Identified Orders of Succession are an essential part of a continuity program to ensure that personnel know who assumes the authority and responsibility of the xxx leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation. See Annex B – Orders of Succession

F. Delegations of Authority: Delegations of Authority provide dispersed xxx personnel with the authority to make key decisions during a continuity situation where the primary decision maker is not available. Predetermined Delegation of Authority will take effect when an emergency situation disrupts normal channels of direction and control and ends when the Division is able to reestablish those channels. See Annex C – Delegations of Authority

G. Continuity Facilities: xxx has designated alternate operating facilities as part of this COOP Plan and prepared Division ERG personnel for the possibility of an unannounced relocation of essential functions as well as identifying COOP contingency staff to support ERG operations in an ERS. See Annex D – Continuity Facilities

H. Continuity Communications: The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal elements, other agencies, critical customers and the public during crisis and/or disaster conditions.

I. Essential Records Management: During a continuity event, xxx ensures the identification, protection and ready availability of electronic and hardcopy documents, references, records, information systems and data management software and equipment (including classified and other sensitive data) that support the Division’s MEFs and reconstitution back to normal operations.

J. Human Resources: People are critical to the operations of any organization. Choosing the right people for an organization’s staff is vitally important and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, xxx will activate emergency relocation employees and other special categories of employees to perform assigned response duties.

K. Test, Training and Exercise (TT&E) Program: An effective TT&E program is necessary to assist DHxxxSEM in preparing and validating its continuity capabilities. See Annex G – Test, Training and Exercise (TT&E) Program

L. Devolution of Control and Direction: Devolution is the capability to transfer statutory authority and responsibility for essential functions from the Agency’s primary operating staff and facilities to other agency employees and facilities and to sustain that operational capability for an extended period.

M. Continuity Plan Operational Phases and Implementation: A continuity plan is implemented to ensure the continuation or rapid resumption of essential functions during a continuity event. The continuity implementation process includes the following four phases:

* Readiness and preparedness
* Activation
* Continuity operations
* Reconstitution

See Annex H – Continuity Plan Operational Phases and Implementation

**VII** **Concept of Operations**



A. PHASE I: Readiness and Preparedness

The continuity program provides for the continuous performance of Mission Essential Functions (MEFs) by the right people, using the right resources and supported with the right planning. The Division’s Continuity of Operations (COOP) Plan ensures a continuity capability, in accordance with guidance in the Continuity Guidance Circular 1, Continuity Guidance for Non - Federal Governments, (States, Territories, Tribes, and Local Government Jurisdictions), (CGC-1).

B. PHASE II: Activation

The continuity program provides activation plans to ensure essential capabilities with minimal disruption to operations. Emergencies, or potential emergencies, may affect the ability of xxx to carry out MEFs from the State Office, located in Centennial. xxx has several options for activation and/or relocation depending on the magnitude and impact of the event.

C. PHASE III: Continuity of Operations

Emergency Relocation Group (ERG) members will deploy to the xxx Emergency Relocation Site (ERS) to establish an operational capability and to perform MEFs within the timeframe prescribed by an Emergency Notification System (ENS) instructions within 12 hours and for up to 30 days or until xx resumes normal operations.

D. Phase IV: Reconstitution Operations

Reconstitution operations begin when the Division Director, or designated representative, activates the x Continuity of Operations (COOP) Plan. See Annex H –Continuity Plan Operational Phases and Implementation

**VIII. Continuity Responsibilities**

The responsibilities of key continuity personnel are delineated in Table below.

**Continuity Responsibilities Listed By Position**

|  |  |
| --- | --- |
| Position | Responsibilities |
| Director  (COOP Planning) | * Appoint a COOP Point of Contact (POC) to coordinate and implement the XXX COOP Plan. * Identify and prioritize mission essential functions (MEFs) and essential supporting activities (ESAs). * Select ERG members based on experience performing component essential functions and their ability to rapidly deploy. * Approve processes and procedures needed to implement and support MEFs during a continuity event. * Notify non-ERG members of their roles and responsibilities. * Approve a written Order of Succession and sign appropriate Delegations of Authority documents. * Ensure all ERG and non - ERG members understand the XXX COOP Plan procedures and are fully equipped and trained to perform these assigned responsibilities. * At a minimum, approve situational Telework agreements for every employee. * Budget for all COOP - related expenses, such as equipment, travel, transportation, etc. * Identify all information technology requirements and procure needed equipment for the COOP activation. * Designate records and databases essential for COOP activities and ensure that they are available at the ERG. * Participate in and oversee Test, Training, and Exercise events. * Support periodic coordination visits and annual exercises involving the XXX ERG members. |
| Director  (COOP Activation) | * Ensure ERG and non - ERG members comply with the emergency notification process. * Identify missions or functions that can defer or terminate in the event the XXX COOP Plan is activated. * Notify the CDPS Executive Director, FEMA Region VIII Regional Administrator of Continuity Plan activation and relocation to alternate facility, as required. * Provide guidance to ERG and non - ERG members. * Account for personnel. |
| Director / COOP Planner  (COOP Planning) | * Perform annual reviews / updates to the XXX COOP Plan. * Schedule and conduct training and exercises relating to the execution of all elements of the XXX COOP Plan, in accordance with the Homeland Security Exercise and Evaluation Program, (HSEEP). * Ensure appropriate Memoranda of Agreement (MOAs) are in place with proposed continuity sites. * Coordinate with other Offices / Directors on any ERG logistical matter related to the ERS. * Brief XXX Director on Continuity issues. * Provide overall continuity guidance and support to XXX. |
| Director  (COOP Planning) | * Assume the role of Reconstitution Manager, coordinating reconstitution operations planning with Facilities and Records Management, Safety, Security, IT, etc. |
| Director  (COOP Activation) | * Inform the other State agencies, FEMA Region VIII, customers, points of contact and stakeholders that the XXX COOP Plan has been activated. * Conduct leadership meetings to provide situational awareness, gather information on issues, and discuss any next steps. * Provide a daily status and attendance report to the XXX Director during any continuity of operations situation. This report should include personnel accountability, continuity activities, and any issues related to the conduct of the operation. * Develop plans, schedules and oversee the orderly transition of all XXX essential functions, personnel, and equipment to the ERS and then back to a new or restored facility. * Inform and / or update management of the status of the reconstitution operations effort. * Human Resources Planning – Provide Human Resources support services, tools, policies, procedures, and strategies to support COOP. * Contracting Officer – Ensure acquisition management functions for daily operations. * Records Management – Ensure the Records Management functions are sustained along with Colorado Open Records Act requests and Privacy Act issues. * Security Services – Provide security services including personnel, physical and information security, and badging services. |
| Continuity Site Operations Manager  (COOP Planning) | * Approve and provide COOP Site process to members at the ERS. The support provided will include: physical security, office space, communications, administrative support and supplies, food services, medical services, transportation (on-site), and billeting (as available). * Designate personnel to assist the arriving ERG members. * Inform the XXX Director of any changes in site resources that may impact the effective execution of the XXX COOP Plan. |
| Continuity Site Operations Manager  (COOP Activation) | * In conjunction with Reconstitution Manager (RM), support the orderly transition of required XXX functions, personnel, equipment, and records from the ERS to a new or restored facility. * Gather, analyze, and disseminate information and intelligence in reference to the incident that caused the COOP plan activation. * Manage the planning process during COOP operations. * Develop after action reports and a corrective actions plan after all activations of the Continuity Plan. |
| xxx  (COOP Activation) | * Oversee disaster response activities. * Coordinate disaster operations with the Continuity Site Operations Manager as applicable. |
| Systems Administrator / OIT Tech  (COOP Planning) | * Develop a XXX COOP information technology plan that details transitioning critical communications, essential records, and information systems from XXX facilities to a reconstituted facility. * Provide guidance on managing essential records. * Consider unique or critical information system requirements in planning and, if appropriate, identify capabilities required for a simultaneous continuity event and disaster event. * Provide instructions to ERG members on how to copy files to the appropriate COOP folder(s). Verify published and distributed procedures are clear, accurate, and work for all types of workstations and network environments at the ERS. |
| ERG Members (COOP Planning) | * Be familiar with the XXX COOP Plan and your respective organization’s COOP Implementation. * Keep situational Telework agreements current. * Understand the MEFs your Office / Division performs during a COOP event. * Identify all personal and professional materials required to activate the COOP Plan. To the maximum extent possible, pre - position these materials at the ERS. * Prepare a drive - away kit that contains all personal and professional items not yet pre-positioned for activation or used in your daily work. Store these items at a location other than your primary work site. * Participate in XXX COOP TT&E. * Be accessible 24-hours-a-day, 7-days-a-week for potential notification of COOP activation. * Make arrangements in advance to ensure you have someone who will satisfactorily address your personal and home responsibilities during an extended absence. * Develop a personal Family Support Plan. * Maintain access to electronic files and have telework capability at all times. |
| ERG Members (COOP Activation) | * Respond to alert notifications. * Relocate, when notified and if available, according to directions provided. * Coordinate with your supervisor to ensure awareness of deployment and to ensure accountability. * Report upon arrival at the alternate location and prepare location for use, as required. * Perform essential function(s) throughout the duration of the COOP activation. |
| Non-ERG Members  (COOP Planning) | * Keep situational Telework agreements current. * Be familiar with the XXX COOP Plan. * Understand the MEFs your Office performs during a COOP event. |
| Non-ERG Members  (COOP Activation) | * During duty hours, non-ERG members in most sections will proceed to their homes or to other XXX facilities to wait for additional guidance. At the time of notification, the alert message will provide appropriate safety precautions. * During non-duty hours, non-ERG members will remain in contact (cell phone, e-mail, etc) to wait for instructions. * Non-ERG members are required to remain in contact with their supervisors in order to receive COOP status updates and accountability. * As required, non-ERG members will report to the alternate location to relieve ERG members when directed to do so by their supervisors. * If assigned tasks are not designated as essential, be prepared to support those teams working on Division MEFs. |
| COOP Points of Contact COOP Planning) | * Keep Office / Division appraised of COOP issues, and upcoming training events. * Ensure ERG members have been notified in writing of their designation as “mission - critical” emergency employees. * Assist staff in maintaining contact information in an Emergency Notification System. * Maintain Office / Division call down rosters. * Ensure that essential records, files and databases needed to support component essential functions have been identified and backup copies (records / files / databases) are updated / stored according to your essential records plan. * Working with your supervisor, maintain a current written order of succession and signed delegations of authority for the Office / Director. * Ensure required consumable supplies and equipment, enough to sustain continuity operation for up to 30 days, or until the Division resumes normal operations are maintained and transported to the alternate location during activation. |
| COOP Points of Contact (COOP Activation) | * Report as directed by an alert message. * Keep your supervisory chain informed of continuity updates as required. * Serve as Reconstitution POC to work with RM as required. |

Plan Maintenance

The xxx is responsible for maintaining the XXX Continuity of Operations Plan. This Plan will be forwarded to the Division Director for review and signature no later than June 30th of each year. The Division Director solely retains the authority to request and / or implement changes throughout the year.

IX. Vital Files, Records, and Databases

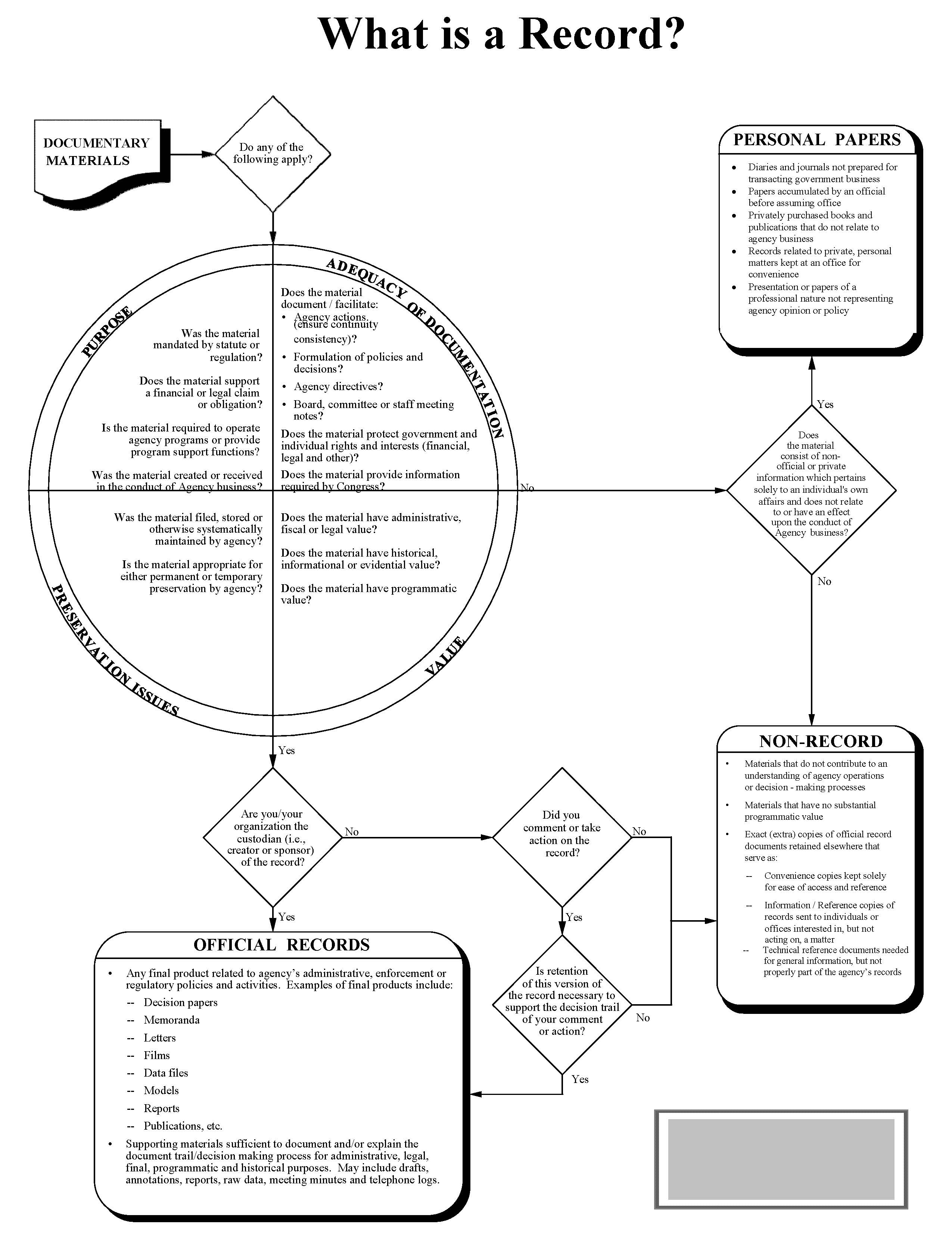
Vital Records are essential agency records needed to meet operational responsibilities under national or State emergency or disaster conditions. Vital records are divided into two categories:

A. Emergency Operating Records are essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency

B. Legal and Financial Rights Records are essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples of these records are records containing proof of ownership, financial interest (social security, payroll, retirement, insurance, and accounts receivable), legal proceeding decisions, contractual obligations, and similar records. These records were formerly defined as "rights – and - interests" records.

C. Retention periods are established by the Office of the State Archivist for different types of records.

D. The decision tree below is a simple structure of what is and what is not an official record. From there, a determination can be made as to if these records are vital.



Records for XXX are in both hard copy and electronic formats. The hard copies are located in several different locations to include both the Mineral Avenue and Kipling Street locations. The electronic formats are located on individual computers, flash drives, servers and the internet.

All Information Technology electronic data will be preserved and backed up in accordance with procedures outlined and promulgated by the Governor’s Office of Information Technology.

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| **Vital File, Record, or Database** | **Priority** | **Form of Record (e.g., hardcopy, electronic)** | **Pre - positioned at Alternate Facility** | **Hand Carried to Alternate Facility** | **Backed up at Third Location** |
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**X. Devolution of Control and Direction**

Devolution is the act of transferring the powers of an office to another group of people or organization. This would only be done if all relocation sites are destroyed and the majority of the XXX employees are unable to perform their essential functions. One of the challenges of a State office is that it may be unconstitutional or illegal to transfer powers to another group within the State or to another State if the event is of such severity. Due to these restrictions the powers would have to be transferred to those within the State who perform a similar mission.

**Annex A: Essential Functions**

These functions are those that cannot be interrupted for 12 hours or must be resumed within 30 days.

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| **Mission Essential Functions** |
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**Essential Supporting Activities**

In this COOP, Essential Supporting Activities are a set of organization level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities. However, a delay in the execution of these functions would not necessarily incur a major impact upon the programs or their stakeholders.

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| **Essential Support Activities** |
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**Annex B: Orders of Succession**

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| **Incumbent**  **Position** | **Primary Successor Position** | **Alternate Successor Position** |
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**Annex C: Delegations of Authority**

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| **Incumbent**  **Position** | **Authorized amount** |
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**Annex D: Continuity Location / Facility Information**

No alternate facility will have the same physical space and layout, network connections, telephone systems as the primary facility. Some facilities may be ready for occupation; others may need several hours / days of work to get them prepared for occupation.

Alternate facilities are one of the keys to a successful COOP. Because of the diverse responsibilities, multiple locations are necessary for the Division. These locations are:

|  |  |  |  |
| --- | --- | --- | --- |
| Locations | City | Point of Contact | Purpose |
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Alternate Location

Ideally, an alternate location should provide the same working environment (desk, chairs, restrooms, storage cabinets, electrical, telephone, etc systems as the primary facility. In a majority of cases, the standards of the alternate facility are below those of the primary in all areas. However, the six standards that should be present are:

1. Sufficient space and equipment.

2. Capability to perform essential functions within 12 hours, up to 30 days.

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

4. Consideration for health, safety, and emotional well – being of personnel.

5. Interoperable communications.

6. Computer equipment and software.

### Annex E Mission Critical Systems

Below are the mission critical systems for XXX.

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| **System Name** | **Priority** | **Current Location** | **Alternate Location** |
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## Interoperable Communications

Today, work environment is heavily communications dependent. Upon moving to an alternate facility, all staff should transport their computer systems to the new location because there may not be excess computers at that site. The eight considerations for interoperable communications are:

1. Capability commensurate with an office’s essential functions.
2. Ability to communicate with essential personnel.
3. Ability to communicate with other agencies, organizations, and stakeholders / customers.
4. Access to data and systems.
5. Communications systems for use in situations with and without warning.
6. Ability to support COOP operational requirements.
7. Ability to operate at the alternate facility within 12 – hours, and up to 30 days.
8. Interoperability with existing field infrastructures.

Annex F Emergency Relocation Group

Within XXX an Emergency Relocation Group (ERG) will be formed. The ERG will consist of those technical staff that will ensure the alternate facility’s systems are operational prior to the movement of the remaining staff. Below is the ERG team. This Group will also be able to handle all operations while the main body of the staff are in transit.

|  |  |
| --- | --- |
| **Position** | **Responsibility** |
| From the Facility | |
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Annex G Test, Training, and Exercise (TT&E) Program

### The Training and Exercise Program Manager will document and evaluate all tests and exercises, and identify plan strengths and areas needing improvement. A list of corrective actions with completion dates and recommendations for improvement will be used to update the COOP at least annually.

A. Recommended training courses

1. E / G / L 549: Continuity of Operations (COOP) Program Manager Course
2. E / L 156: Design for Homeland Security T – t - T Course for Continuity of Operations
3. E / L / G 550: COOP Planner’s T – t - T Workshop
4. IS 120.A: An Introduction to Exercises
5. IS 130: Exercise Evaluation and Improvement Planning
6. IS 139: Exercise Design
7. IS 240.a or equivalent E/L/G course: Leadership and Influence
8. IS 520: Introduction to Continuity of Operations Planning for Pandemic Influenzas
9. IS 522: Exercising Continuity Plans for Pandemic Course
10. IS 546.12: COOP Awareness Course
11. IS 547.a: Introduction to COOP
12. IS 548: COOP Manager’s T – t - T Course
13. IS 551: Devolution Planning Workshop
14. IS 700.a: Introduction to National Incident Management System (NIMS)
15. MGT 331 University of Maryland Preparing the States Continuity Courses

B. Exercises are used to ensure our ability to perform the identified essential functions or services during a COOP emergency. The exercises will be varied by hazard and size of response. They provide emergency simulations that: promote preparedness; improve the response capability of individuals, validate plans, policies, procedures, and systems; and, determine the effectiveness of command, control, and communication functions and event - scene activities. All COOP related exercises will be conducted using the guidance contained in the Homeland Security Exercise and Evaluation Program (HSEEP).

C. Annually, a COOP seminar will be conducted to familiarize staff with the Plan. At the discretion of the Division Director, the occupation of a second or third facility (or other locations) will occur.

# D. Multi - Year Strategy and Program Management Plan

The first year of this strategy will be focused upon the education and familiarity of the Division plan, which will also involve the training of staff of COOP – related subjects and position responsibilities.

Year two will focus on Homeland Security and Exercise Evaluation Program guided exercises culminating in a short – term (24 hours) occupation of an alternate facility and correction of lesson learned gaps.

The third year will continue with annual exercises as well as training of newly assigned division staff in continuity of operations planning.

Annex H Continuity Plan Operational Phases and Implementation

# Concept of Operations

This Section outlines the four phases of the XXX COOP.

Phase I: Readiness and Preparedness

As addressed in Annex G, readiness for a COOP event is primarily focused on familiarization of this plan through training and exercise.

## Phase II: Activation and Relocation

### Decision Process

The decision to activate this Plan, all or in part, will be made by the Division Director, or their designated representative. This decision will be made based upon the following factors:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Category | Description | Potential Event | Impact to Essential Services | Decisions |
| Alert | Normal day to day operations. Identified as a non-emergency situation.  . | An event with notice, such as severe weather forecasted to impact area; scheduled software upgrades to essential systems or essential equipment maintenance / upgrades. | An actual or anticipated event that might have an adverse impact on a portion of the division, staff, or equipment / systems for a period of time that exceeds recovery time objectives, but does not require any specific response beyond what is normally available. | Continuity Plan implementation not required. |
| Stand-by | Controlled emergency situation without the potential of serious threat to life, health, or property. The event requires some action from the response organization and may require assistance from the facility management | A winter storm event approaching the area; system or equipment failure expected to last less than 24 hours; possible public health emergency reported with minimal impact to staff. | An actual or anticipated event estimated to have minimal impact on operations that might require minimal assistance beyond what is normally available. | Limited Continuity Plan implementation depending on individual division requirements. |
| Partial Activation | Limited emergency situation with some threat to life, health, or property, but confined to limited area or system. This situation can be mitigated by local emergency response personnel. | Small fire localized to one wing or floor of the building; system or equipment failure expected to last more than one day; public health emergency declared with moderate impact to staff. | An actual event estimated to disrupt the operations of essential functions for more than the established recovery time objectives or 24 hours. | Partial Implementation of the Continuity Plan. |
| Full Activation | Full emergency situation with major threat to life, health, or property, involving the majority of the facility and staff. This is a potential catastrophic event with serious consequences. | Gas line explosion resulting in extensive structural damage; system or equipment failure expected to last for an extended period of time; public health emergency declared with significant staff impact. | An actual event that significantly disrupts the operations of multiple MEFs for a period of time exceeding the MEF recovery time objectives. | Full implementation of the Continuity Plan approved by EDO. |

### Alert, Notification, and Implementation Process

XXX staff are encouraged to report to work after they have made provisions for the health andsafety of their families. It’s important to know that this plan will not be implemented until many other actions have taken place and that the first responsibility of each staff members is to ensure their own safety. Each office varies in staff size from one-person offices to over a hundred staff in some offices. Therefore potential reduction in workforce will be individually assessed by the field and regional orders of succession for any needs and consultation with field, regional, and statewide management occur to prevent any disruption to support and care for families and children.

Provisions for Personnel Accountability throughout the Duration of the Emergency:

1. Alternate worksite: For example in a flu response, and if there is a need for social distancing, workers could work from home.
2. The XXX Leadership Team will make decisions such as the temporary transfer / deployment of staff. Regional Managers and EOM’s will make decisions about case work not requiring in person contact and that can be completed telephonically.

### Normal Communication Channels Are Open

If normal communication channels are open, XXX will use regular phone systems to communicate between the Commissioner’s and Director’s Office and relevant field staff. It will be important for staff to have the capacity to send and receive information as quickly as possible.

### Alert and Notification information will include information to report to work, to stay at home, to go home, or to report to an alternate site. Other information may include:

1. Preparing for relocation
2. Cancelling personal leave
3. Nonessential personnel will be notified and kept informed during relocation and emergency activation status through XXX call down procedure. In order to inform potential recipients of services, Public Service Announcements (PSA) will be provided to local news or radio stations through the Executive Director’s Office. A site or situation specific message may be made advising people where to go for emergency assistance, information about retailers that are in operation, etc.

### Normal Communications Channels Are Not Open

If normal communication channels are not open, XXX will first attempt to use cell phones. If home phone numbers of employees are provided, these are to remain confidential and not disseminated to the public.

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Phase III: Continuity Operations

Upon activation of the COOP plan, the XXX will continue to perform MEFs at the primary operating facility until ordered to cease operations by Division Director. At that time, MEFs will transfer to the assigned continuity facility. The Division must perform identified MEFs within 0 to 12 hours of the event and other identified essential functions within 12 hours of plan activation.

As continuity personnel arrive at the assigned continuity facility, the Division’s Administrative Staff, will in - process the staff to ensure accountability. In addition, the Section will identify all organization key personnel available at the continuity facility. Shortages of continuity personnel will be addressed at this time.

Upon arrival at the continuity facility, XXX continuity personnel will:

* 1. Report immediately for check - in and in - processing.
  2. Receive all applicable instructions and equipment.
  3. Report to their respective workspace as identified or as otherwise notified during the activation process and check-in process.
  4. Retrieve pre - positioned information and activate specialized systems or equipment if on site.
  5. Activate computer systems, establish links to critical systems.
  6. Establish communications radio, telephonic, etc.
  7. Monitor the status of the Division’s personnel and resources.
  8. Continue XXX’s MEF.
  9. Prepare and disseminate instructions and reports, as required.

During continuity operations, XXX may need to acquire additional personnel / contractors, equipment and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The Division’s Administrative team maintain the authority for emergency acquisition.

Phase IV: Reconstitution

The process of moving from the relocation site to the old or new home site is generally the same as that of moving to the relocation site, in that its objective is to continue essential operations during the transition, to have a smooth handoff from the relocation site to the old or new home site, and to make the move as safely and cost - effectively as possible. The objectives of Reconstitution are:

* 1. Develop an executable plan for transitioning back to efficient normal operations status from COOP status, once a threat or disruption has passed.
  2. Coordinate and preplan options for organization reconstitution regardless of the level of disruption that originally prompted the Division to implement its COOP plan. These options include moving operations from the continuity facility to either the original operating facility or, if necessary, to a new operating facility.
  3. Outline the necessary procedures to conduct a smooth transition from the relocation site to either the original facility or a new facility.

1. Reconstitution Procedures

Within 12 hours of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover the XXX’s original operating facility after receiving approval from the appropriate local, State, and Federal law enforcement and emergency services personnel:

* 1. Each XXX supervisor will designate a reconstitution point – of - contact to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution and will provide names of reconstitution point – of - contact to Operations Section within 12 hours of the Continuity Plan activation
  2. All Division managers will identify any records affected by the incident. XXX will begin development of specialized vital records transition and recovery plan based on the incident and facility within 12 hours of plan activation.

2. Implementation

Reconstitution procedures will commence when the Director or authorized representative ascertains that the emergency situation has ended and is unlikely to recur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the COOP plan. Once the appropriate XXX authority has made this determination in coordination with other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

* 1. Continue to operate from the continuity facility
  2. Reconstitute the XXX’s to the original operating facility and begin an orderly return to the facility.
  3. Begin to establish a reconstituted XXX in a new facility in the area or at another designated location.

a. Relocation to the Original Facility.

Prior to relocating back to the original facility, the XXX’s Operations Section will ensure that appropriate security, safety, and health assessments are conducted to determine building suitability. In addition, verification that all critical systems, communications, and other required capabilities are available and fully operational so that XXX is fully capable of accomplishing all essential functions at the original facility.

Upon a decision by the XXX Director or delegated representative that the original operating facility can be reoccupied the Division program managers will notify all staff that the emergency or threat of emergency has passed and transmit the actions required of personnel during the relocation process using telephone, smart phone, e - mail or other available notification systems.

The Operations will begin supervising a return of continuity personnel, equipment, and documents to the original operating facility. The phase - down and return of personnel, functions, and equipment will follow the priority - based plan as outlined below:

* 1. IT / Communications
  2. Staff Offices

The Division will continue to operate at the continuity facility until personnel, equipment, and documents are in place at the original facility. The Division’s Operations Section Chief will order the continuity facility to cease operations and close the continuity facility. Once the move to the original facility is complete, notifications will be made to all affected and interdependent agencies with information regarding operational and communication status.

b. Relocation to a New Facility

Should it be determined that relocation to the original facility is not feasible, the Division will continue to operate at the continuity facility until a suitable facility is found. XXX will develop space and facility requirements including security, health, access, communications, and computer support requirements. This information will be used to evaluate each facility.

The Division will advise the Department of Public Safety and the Department of Personnel and Administration of the need for a new facility providing them with the above listed requirements. The Division will work in concert with those Departments to locate a new site and follow normal purchasing and / or leasing procedures to occupy the facility.

Upon verification that the required capabilities are available and operational at the new site, the Operations and Logistics Section will begin supervising a return of personnel, equipment, and documents to the new location. The phase - down and return of personnel, functions, and equipment will follow the priority-based plan as outlined below:

* 1. IT / Communications
  2. Staff Offices

The Division will continue to operate at the continuity facility until personnel, equipment, and documents are in place at the new facility. The Division’s Operations Section Chief will order the continuity facility to cease operations and will close the continuity facility. Once the move to the new facility is complete, notifications will be made to all affected and interdependent agencies with information regarding operational and communication status

The COOP event will be considered at an end when the following criteria have been met:

1. Primary location is fully functional.
2. All Division functions (essential and non – essential) have resumed.
3. The alternate location is returned to its original condition.
4. A formal after action report has been written.

Annex I: Continuity Communications

This section addresses communications systems needed to ensure connectivity during crisis and disaster conditions. 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.

XXX has identified available and redundant critical communication systems at the continuity facility. Further, XXX 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. All XXX’s necessary and required communications and IT capabilities should be operational within 12 hours of activation.

Management Communications

XXX possesses communications capabilities to support the organization’s senior leadership while they are in transit to continuity facilities. These are typically cell phones issued to the individual. Communication content should include:

1. A brief description of the emergency
2. The decision to activate the COOP plan
3. Approval to implement COOP plan procedures
4. Provide logistical information about transportation to the alternate facility and/or changes in the Division’s business hours
5. Direction to non – COOP staff to go home or move to another location
6. Advise non – OOP staff of their communications requirements and how they can keep updated on the Division’s status.

The specific content of the notification will depend on factors such as the scope of the emergency, the availability of information, and the time to prepare it. It may take several communications to convey all the information, especially if the emergency has come with little or no warning. Additionally, it may be preferable to follow – up with a general notification to affected staff with more specific notification targeted to COOP staff.

Employee Communications

Employees may be contacted by multiple methods depending on the severity of the disaster and the employee’s role in the recovery effort.

1. Employee Call List / Phone Tree: Employee directories including home phone, work, cell phone, home address, etc. will be used to notify employees and, depending on the severity of the disaster, explain the employee’s role in the recovery effort. Providing other employees with information from these lists should be done with a high degree of discretion.
2. Intranet Announcements: This form of communication involves posting of information on the Division’s intranet site. If a disaster occurs, this will serve as a communication vehicle. If however a major disaster occurs, this will not be as useful.
3. Internet Announcements: This method of communication involves posting pertinent information on the Division’s website. This however is not a form for employee communication and is not encouraged, as the contents are visible to anyone with a browser. Management and legal counsel must be consulted before using this as a means of employee communication.
4. Email Announcements: This form of communication to send out an electronic notification to employee’s work email addresses would be the most likely communication vehicle in the event of a minor disaster. In the event of a major disaster this is not likely to be as useful. Consultation with OIT from a technical standpoint is prudent to assess the availability of the technology to the area.
5. Voicemail Announcements: This form of communication utilizes the Division’s phone mail system to send voice messages to employees’ work phones. If a minor disaster occurs, this is another likely communication tool. If a major disaster occurs this is not likely to be as useful.
6. Media Announcements: This method to communicate uses the media to get messages out to employees. This is not encouraged. Management and legal counsel should be consulted prior to using this as a means of employee communication.
7. Hotline: This method uses the inclement weather hotline to notify employees of the emergency and provide general direction to employees and their role in the recovery effort. The hotline can provide a recorded message about the status of the Division’s operations.
8. AdHoc Announcements: There are other forms of communication that may not have been described in this section. Management must be consulted regardless of the medium chosen to ensure the accuracy and appropriateness of the chosen communication vehicle as well as the content of messages being sent.

Vendor Communications

Vendors are to be placed on a need to know basis. Typically, a vendor is contacted because there’s a need for the products or services they provide. When speaking with a vendor, provide only the details that are pertinent to the acquisition only. Keep in mind that communications that either imply or are related to purchases or other monetary implications should be reviewed against the emergency procurement policy. Management should be included for procurement authorization and actual acquisition standpoint as needed.

Media Communications

The Public Information Officer (PIO) is the only party that releases information to the media. Executive leadership and legal counsel review and approve the release. When a disaster strikes, the role of the media is to report the news of the event. This creates the risk that the Division may be affected by the nature of the disaster or their response to it. In addition, miscommunication by the media can magnify the normal problems and issues of the recovery process. Steps to take in the event of a disaster to ensure effective media relations are outlined as follows:

1. The Director and the PIO are the spokespersons regarding issues that affect the entire Division. The Director may designate other persons to speak for the Division.
2. The PIO will field all media inquiries and respond in cooperation with management and legal counsel approving content.
3. “Media Policy and Procedures”.
4. In the event employees are contacted by the media, they should NEVER:
5. Lie
6. Get hostile
7. Say “no comment”
8. Guess
9. Give opinions
10. Go “off the record”

Strict compliance with these guidelines is mandatory. The PIO should be the only party to make contact with the media. The XXX strategic Communications Director will be responsible for directing and approving all methods of external communications following a disaster event. Executive leadership will work with the PIO to determine what information to communicate, the form of communication, and the audiences that should receive it. Executive leadership has the sole authority to answer questions with predetermined limitations and to make on the spot decisions as well as arrangements necessary for proper relations.

Other Communications

Management is to be consulted regardless of the medium selected to ensure the accuracy and appropriateness of the chosen communication vehicle as well as the content of messages to be delivered. The Public Information Officer will release communications unless otherwise noted.

Following these procedures will facilitate the full, accurate and prompt dissemination of Division information to the media.

Relocation Process

This Plan is designed to provide a flexible response in all – hazards environment. The degree to which this Plan is implemented depends on the type and magnitude of the event or threat. The extent to which this will be possible depends on the emergency, the amount of warning received, whether personnel are on duty at the Division’s facility or off – duty at home or elsewhere, and possibly, the extent of damage to the Division’s facility and its occupants.

Annex J Acronyms

|  |  |
| --- | --- |
| AAR | After Action Review or Report |
| CCR | Code of Colorado Regulations |
| CGC | Contingency Guidance Circular |
| COG | Continuity of Government |
| COOP | Continuity of Operations Plan |
| CRS | Colorado Revised Statutes |
| FEMA | Federal Emergency Management Agency |
| HSEEP | Homeland Security Exercise and Evaluation Program |
| ICS | Incident Command System |
| IT | Information Technology |
| MEF | Mission Essential Functions |
| NRF | National Response Framework |
| NSPD | National Security Presidential Directive |
| TT&E | Test, Training, and Exercise |
| T-t-T | Train the Trainer |

Annex K Glossary

Activation – Once a Continuity of Operations plan has been implemented, whether in whole or in part, it is considered “activated.”

Agency or organization head – The highest - ranking official of the primary occupant agency or organization, or a successor or designee who has been selected by that official.

All - hazards – The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

Continuity facilities – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity situation. “Continuity facilities” refers to not only other locations, but also nontraditional options such as working at home (“teleworking”), telecommuting, and mobile-office concepts.

Communications – Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions of the organization. Robust communications help ensure that the leadership receives coordinated, integrated policy and operational advice and recommendations and will provide the ability for governments and the private sector to communicate internally and with other entities (including with other Federal agencies, State, local, territorial, and tribal governments, and the private sector) as necessary to perform their MEFs.

Continuity – An uninterrupted ability to provide services and support, while maintaining organizational viability, before, during, and after an event.

Continuity capability – The ability of an organization to continue to perform its essential functions, using Continuity of Operations and COG programs and continuity requirements that have been integrated into the organization’s daily operations, with the primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of emergency functions under all conditions. Building upon a foundation of continuity planning and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.

Continuity communications – Communications that provide the capability to perform essential functions, in conjunction with other organizations until normal operations can be resumed.

Continuity of Government (COG) – A coordinated effort within the Government’s executive branch to ensure that PEFs continue to be performed during a catastrophic emergency.

Continuity of Operations (COOP) – An effort within individual agencies to ensure they can continue to perform their MEFs and PMEFs during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

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

Critical infrastructure – An interdependent network of vital physical and information facilities, networks, and assets, including in the telecommunications, energy, financial services, water, and transportation sectors, that private business and the Government rely upon (including for the defense and national security of the United States). Critical infrastructures are those systems and assets so vital to the Nation that their incapacity or destruction would have a debilitating impact on national security (including national economic security) and/or national public health or safety.

**Critical infrastructure protection (CIP)** – Risk management actions intended to prevent a threat or threat agent from attempting to, or succeeding at, destroying or incapacitating critical infrastructures.

Delegation of authority – Identification, by position, of the authorities for making policy determinations and decisions at headquarters, field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

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

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

Emergencies - are any unplanned event that can cause deaths or significant injuries to employees, customers or the public; or that can shut - down your organization, disrupt operations, cause physical or environmental damage, or harm the organization’s public image.

**Emergency operating records** – Records that support the execution of an agency’s essential functions.

Essential Functions – The critical activities performed by organizations especially after a disruption of normal activities. There are three categories of essential functions: NEFs, PMEFs, and MEFs.

Facilities – Locations where an organization’s leadership and staff operate. Leadership and staff may be co-located in one facility or dispersed across many locations and connected by communications systems. Facilities should be able to provide staff with survivable protection and should enable continued and endurable operations.

Government Functions – Government functions include both the collective functions of the heads of agencies as defined by statute, regulations, presidential direction, or other legal authority, and the functions of the legislative and judicial branches.

Interoperability – “Interoperability” has two meanings: (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies, and to use the services so exchanged so that these organizations can operate together effectively; (2) A condition that is realized among electronic-communications operating systems or grids and / or among individual electronic - communications devices, when those systems and / or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

Legal and financial records – Records that are necessary to protect the legal and financial rights of both the government and private sector and the persons who are affected by its actions.

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

Normal operations – Generally and collectively, “normal operations” refer to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include planning and execution of tasks throughout the range of operations.

Orders of succession – Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

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

**Primary Mission Essential Functions (PMEFs)** – Those department and agency Mission Essential Functions, validated by the NCC, which should be performed in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Reconstitution – The process by which surviving and or replacement organization personnel resume normal agency operations from the original or replacement primary operating facility.

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

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

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

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

Test, Training, and Exercise (TT&E) Program – Measures to ensure that an organization’s continuity plan is capable of supporting the continued execution of the organization’s essential functions throughout the duration of a continuity situation.

Vital databases – Information systems that are needed to support essential functions during a continuity situation.

Vital records – Electronic and hardcopy documents, references, and records that are needed to support essential functions during a continuity situation. The two basic categories of vital records are (1) emergency operating records and (2) rights and interests records.

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

Annex L Authorities and References

# Code of Colorado Regulations 8 CCR 1507-40 and -41.

# Colorado Revised Statute 24-33.5-1609.

# Continuity Emergency Relocation Group Member Planning Guides, FEMA, June 2009

# Continuity Guidance Circular 1, Continuity Guidance for Non - Federal Entities, Dated July 2013

# Continuity Guidance Circular 2, Continuity Guidance for Non - Federal Entities: Mission Essential Functions Identification Process, October 2013.

# Continuity Plan Template and Instructions for Non – Federal Entities, FEMA, April 2013

# Continuity Plan Template for Federal and Non – Federal Entities, FEMA, April 2013

# National Infrastructure Protection Plan, 2009.

# National Preparedness System, November 2011.

# National Prevention Framework, 2013.

# National Security Presidential Directive - 51 / Homeland Security Presidential Directive – 20: National Continuity Policy.

# Presidential Policy Directive 8: National Preparedness, March 30, 2011.