

EMPIRE AGENCY

***COMPREHENSIVE
EMERGENCY MANAGEMENT
and
CONTINUITY OF OPERATIONS
PLAN***



A Tutorial Sample Plan

**Developed by the
New York State Office of Emergency Management**

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Foreword

This sample plan can be used as a guide for determining subjects and issues appropriate for an agency emergency management plan and a possible format to use. This document is based upon common planning elements and includes many guides and job aids to guide an agency in their planning endeavors.

It should be identified that developing a sample plan to cover every conceivable disaster situation and response activity is virtually impossible. However, the concepts and components outlined in this document have a broad range of applicability to a wide variety of emergencies or disaster situations, which agencies should find useful in developing all-hazards emergency management and continuity of operations plans. While Continuity of Operations Planning (COOP) is a key concern, greater emphasis should be placed on the level of an agency's emergency preparedness program. The reason for this prioritization is that agencies need to protect their resources, personnel or otherwise, that may be called upon to support activating their COOP. Simply stated, the best laid COOP will not be of any value to an agency if the personnel that would be called upon to implement it are incapacitated or deceased. Therefore, it is in each agency's best interest to ensure that they have a sound comprehensive emergency management program and the capability to continue operations in times of emergencies or disaster situations.

This document is not intended to be a "boiler-plate," requiring only a change in the agency name. Rather, it is to be used as a planning tool to support agency emergency preparedness. Further, this document was designed to encourage state agencies to utilize a planning process to address their emergency planning needs. The process, formally known as the 10-Step Planning Process, has been widely accepted and used by emergency planners at all levels of government and has proven to be an effective, efficient methodology in developing and implementing a sound emergency management program.

The structure of this document follows a comprehensive approach to emergency preparedness. Upon review, readers will note that the plan has many similarities to the planning methodology used in the development of state and local disaster preparedness plans, the roots of which can be found in State Executive Law, Article 2-B. Utilizing this format aids in developing plans that are consistent with existing methodologies and also serves as a viable planning tool in identifying agency emergency preparedness before, during and after the emergency. Also, readers will note that this document cites several noteworthy COOP planning methodologies that have been widely acclaimed by both the public and private sectors. It is interesting to note that one of those methodologies, NFPA 1600 (*Standard on Disaster/Emergency Management and Business Continuity*), follows the same format and structure of a comprehensive, all-hazards emergency preparedness plan.

In using this document, agencies need to consider agency-specific facilities, demographics and responsibilities that are unique to the agency. In addition, agencies need to consider the impact on agency operations as well as an agency's ability to support a state response to an emergency or disaster.

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Utilizing the 10-Step Emergency Planning Process to Develop an Agency Comprehensive Emergency Management Plan and Continuity of Operations Plan

Disaster preparedness and emergency response plans should be developed to address all hazards. Agency planning efforts should consider the impact that a natural, technological or human-caused hazard may have on the agency and its ability to continue to function as a component of state government.

Comprehensive in Scope


- All Hazards
 - Natural
 - Technological
 - Human Caused



Planning for emergencies is often a difficult and challenging undertaking. The 10-Step Planning Process has proven to be a method of immeasurable value in developing, testing and implementing an effective emergency management plan.

Utilizing the 10-Step Planning Process

- 1: The Planning Team
- 2: Hazard Analysis
- 3: Risk Reduction
- 4: Capability Assessment
- 5: Response Planning
- 6: Recovery Planning
- 7: Community Involvement
- 8: Exercise
- 9: Plan Approval
- 10: Update



The slide at the right is a comparison between the emergency planning benchmarks in NYS Executive Law, Article 2-B and NFPA 1600 (*Standard on Disaster/ Emergency Management and Business Continuity*). Note the common elements that are to be identified in the planning process.

Common Planning Elements

Planning Element	Article 2b	NFPA 1600
Mitigation	x	x
Training / Exercising	x	x
Hazard Identification	x	x
Incident Management	x	x
Lines of Authority	x	x
Direction and Control	x	x
Communications / Warning	x	x
Operations & Procedures	x	x
Logistics and Facilities	x	x
Public Education & Info	x	x
Recovery	x	x

Step 1 of the Planning Process: Form a Planning Team. Planning efforts should not be conducted by one individual working autonomously from a group. The key is to utilize the expertise and support from those individuals that may be “players” in the response organization.

Step 1- Form a Planning Team

- Individual vs. Team
- Team Members
- Team Support
- Team Leader



Utilizing a team approach often results in a quality plan by incorporating the knowledge of others. The process not only provides an accurate reflection of response capabilities, but also fosters team building- which will be invaluable in times of emergency.



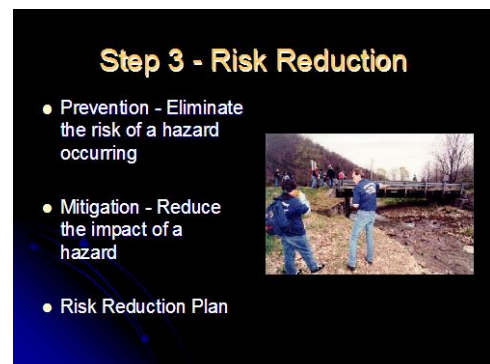
There is no one better in an agency that understands their respective programs better than the bureau chiefs or front line supervisors that oversee the work. Use these individuals in the planning effort to bring in knowledge and expertise and to identify the mission-critical tasks, assignments and information.



Step 2 of the Planning Process: Hazard Analysis. Hazards are community based. As such, each agency facility should conduct a Hazard Analysis to determine the potential impacts on the facility. The analysis should include identifying both internal and external hazards. The analysis should assist an agency in identifying where their efforts would be best served in developing contingency plans and incorporating mitigation measures and activities.



Step 3 of the Planning Process: Risk Reduction. Upon completing a hazard analysis, the planning team should consider applying Risk Reduction (Prevention and Mitigation) measures to those hazards. Mitigation measures vary in application and expense, and include both structural and non-structural concepts.



Step 4 of the Planning Process: Capability Assessment. How well can the agency respond to an emergency? What is our acceptable “down time”? A capability assessment can answer those questions and much more! Agencies should consider conducting two tabletop exercises based upon the hazards of concern that were identified by the analysis.

Step 4 - Capability Assessment

- What Can Happen?
- How Will You Deal With It?
- Are There Shortfalls?
- Can Shortfalls Be Overcome?

Step 5 of the Planning Process: Response. This is the actual writing of the plan. The Planning Team needs to bring together all of the core concepts, capabilities and response mechanisms and assemble the information into a systematic format. This part of the plan is the most crucial as it identifies an agency’s response to an event. Considering utilizing this sample plan as a guide to ensure that your plan hits all of the needed elements.

Step 5 - The Response Plan’s 10 Elements

- Existing Plan Info
- Emergency Response Organization
- Activation of Emergency Staff
- Incident Command Post / EOC
- Assessment, Decision Making, Protective Measures
- Warning and Emergency Information
- Care for Victims
- COOP and Restoring Vital Services
- Resource Management
- SOGs

The chain of command that an agency will utilize in response to an emergency needs to be formally identified. Identifying the chain of command in the planning process will help to alleviate confusion during an actual emergency. In addition, it is also provides a good opportunity to identify primary and alternate staff to fill the positions and to maintain a manageable span of control.

INCIDENT COMMAND SYSTEM (ICS)

In 1996 Governor Pataki signed Executive Order No. 26 establishing NIIMS ICS as the State’s standard command and control system for emergency operations.

Step 6 of the Planning Process: Planning for Recovery. How long will it take for the agency to recover from an emergency? What Programs are available to support our agency in the Recovery process? This step of the planning process should answer those questions, and more. Disaster recovery is also disaster *resiliency*. Identify the short-term and long-term recovery steps, which should include seeking assistance from SEMO in the disaster recovery process.


Step 6 - Planning for Recovery

- Short Term - Returning essential services to their pre-emergency state
- Long Term - Reconstruction (including Risk Reduction)

Step 7 of the Planning Process: In this step, “Community” refers to those individuals or organizations that will play a role in response to an emergency at your agency’s facility. Consider providing a copy of the draft plan for review and comment to those participants. This step serves as an educational piece, as well as an opportunity for incorporating more expertise.

Step 7 - Community Involvement


- Involvement Leads to Acceptance and a More Effective Plan
- The People that You Serve
- The Emergency Responders that Will Serve You



Step 8 of the Planning Process: The time to test an emergency plan is not during the emergency. Once the Planning Team has received and incorporated all of the plan comments from Step 7, consider conducting practical exercises to identify shortfalls, and incorporate lessons learned from the exercises. Exercises should be reality-based and test specific components of the plan. SEMO can provide training and assistance in exercise design.

Step 8 - Exercise to Test Plan

- Table-top
- Tests and Drills
- Functional
- Full-scale



Step 9 of the Planning Process: Once the plan has been thoroughly tested and amended, seek concurrence on the final product. While this step is often viewed as a formality, it is vital to the effort because it formally identifies the command and control document that the agency will be using in response to an emergency.

Step 9 - Plan Approval

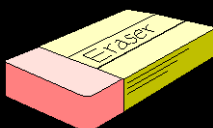
- Agency Sign-off
- Building Management Approval
- Labor Concurrence



Step 10 of the Planning Process: Simply stated, outdated plans are dangerous. Emergency plans should undergo a thorough review at least annually. Consider a review if other factors are identified, such as regulatory changes, new hazards are identified or existing hazards change, or following an actual event.

Step 10 - Update the Plan


- Outdated Plans are Dangerous
- Revision Schedule
- Lessons Learned



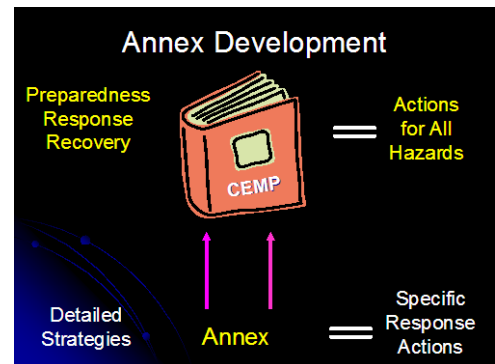
The development of a comprehensive emergency management plan (CEMP) provides for an all-hazards approach to preparing for emergencies before, during and after the event. The CEMP is to be the over-arching document that is all-encompassing. It identifies the policies, authorities and the strategic concepts in managing an emergency.

The Plan is All-Hazards

- Risk Reduction
 - Hazard Mitigation
 - Training and Exercising
 - Alternate Facilities, Back-up / Off-site Storage
 - Staff Education
- Response
 - Alerting and Notification
 - Standing Up the Response
 - Incident Management
 - Warning and Emergency Information
 - Integration of On-Site / Off-Site Response
 - Protective Actions
- Recovery
 - Short and long-term actions





While the CEMP is primarily strategic in nature, some circumstances require a more detailed approach. In doing so, the strategies and policies are converted into tactics—the implementation of the strategy for a narrow and defined action. The identification of those specific tactical considerations are delineated in an annex to the CEMP.



Annexes are typically done in one of two scopes: Functional or Hazard Specific. Functional annexes perform a function, such as evacuating or sheltering. Hazard specific annexes address one specific hazard, such as an intruder or terrorism. In developing either one, the annex is to utilize the foundational mechanisms in the CEMP (i.e., warning systems) and build on those capabilities to serve the needs of the annex.

Annexes

- Functional or Hazard Specific.
- Utilize existing policies and procedures that have been identified in the CEMP.
- Build upon such policies towards a specific goal or objective.

The slide at the right illustrates the relationship between the CEMP and an annex. In the illustration, the required emergency management components are identified in the CEMP (identified by the check mark). In this example, the agency has developed a severe weather annex and in doing so, has referred to the CEMP for mechanisms that are already pre-determined (identified by the arrow). The “details” are incident management objectives specific to a severe weather event.

Annexes Augment the CEMP

	CEMP	Severe Weather Annex
Incident Management	✓	Details
Alert & Notification	✓	←
Activation	✓	←
Warning	✓	←
Emergency Information	✓	←
Response Organization	✓	←
Emergency Operations	✓	Details
Communications	✓	←
Recovery	✓	Details

EMPIRE AGENCY COMPREHENSIVE EMERGENCY MANAGEMENT PLAN (CEMP)

EXECUTIVE SUMMARY

Executive Policy

The ability for an agency to function is vital to the success of its operation and to state government. There are many types of emergencies that could occur that could have a negative impact on agency operations. This plan results from the recognition on the part of the agency that a comprehensive plan is needed to enhance the agency's ability to operate in an emergency or disaster situation. It was prepared by agency representatives working as a team in a planning process recommended by the New York State Emergency Management Office. This plan constitutes an integral part of a statewide emergency management and continuity of government program and contributes to its effectiveness. The authority to undertake this effort is provided in State Executive Law, Article 2-B.

The purpose of this section is to formally identify and recognize the executive policies and authorities that each agency may exercise in developing the CEMP. Additionally, this formal executive recognition should serve as the guiding policy for all agency employees to follow in supporting all-hazards emergency preparedness.

The development of this plan included an identification and analysis of potential hazards that could affect agency operations and an assessment of the capabilities existing in the agency to deal with potential hazards.

Comprehensive Approach

Dealing with emergencies and disasters is an ongoing and complex undertaking. Through implementation of **Preparedness** measures, including effective planning, is the key to successfully applying timely and effective **Response** mechanisms during an actual emergency. Further, provisions for short and long term **Recovery** assistance after the occurrence is essential in ensuring that the agency can maintain its obligation to the state, as well as the staff that it employs.

While summary in nature, this portion of the document identifies the foundational framework for what will be covered in the plan and, in general terms, the format of the plan.

This process is called **Comprehensive Emergency Management** to emphasize the interrelationship of activities, functions, and expertise necessary to deal with emergencies. This comprehensive emergency management plan contains four sections to deal separately with each part of this ongoing process.

Management Responsibilities

The plan outlines the strategies and emergency management responsibilities for each of the agency sections or departments. Assignments are made within the framework of the present capability and existing organizational responsibilities. The primary responsibility for responding to the emergency within the agency rests with the agency and the agency commissioner. In addition, the agency commissioner has the authority to direct and coordinate emergency operations within the agency. This authority has been delegated to the agency's Disaster Preparedness Commission (DPC) liaison, who will serve as the Agency Emergency Response Coordinator to coordinate all emergency management activities of the agency.

Executive Order #26 of 1996 requires state agencies to organize their response to an emergency using the National Interagency Incident Management System (NIIMS), Incident Command System (ICS). Empire Agency intends to use the Incident Command System to organize its response to emergencies. ICS is a management tool for the command, control and coordination of resources and personnel in an emergency.

The text above identified the agency's DPC Liaison as the Agency Emergency Response Coordinator (AERC). The liaison was chosen as an example due to their knowledge of state disaster response / recovery operations. Regardless of whom this person is, the designee should work in coordination with agency executive staff and the Tenant Safety Organization (TSO), if established. TSOs are an integral component for employee emergency and evacuation planning as identified in 29 CFR 1910.38. This plan also identifies the role of another key individual, known as the Facility Emergency Coordinator. In some cases, this position may be filled by the agency itself or, in the case where OGS owns and operates the facility, by an OGS facility representative. In either case, these functions should be coordinated through the facility representative overseeing the facility.

Empire Agency lies within Empire County. Empire County responsibilities are closely related to the responsibility of the local levels of government within the County (cities, towns and villages) to manage all phases of an emergency. The County has the responsibility to assist the local governments in the event that they have fully committed their resources and are still unable to cope with any disaster. Similarly, New York State is obligated to provide assistance to the county after resources have been fully committed and the county is unable to cope with the disaster. Empire Agency must ensure that the agency can appropriately interface with the local and county response agencies in times of emergencies. Further, Empire Agency must also ensure that it is prepared to respond to an emergency as part of the collective state disaster response.

Specific emergency management guidance for situations requiring special knowledge, technical expertise, and resources may be addressed in separate annexes attached to the plan. Examples of this type of situation are emergencies that warrant evacuation, in-place sheltering, or plans, such as site safety plans, that are required under other state or federal regulations.

Conclusion

This plan will serve as the policy, authority, general guidelines for the agency, and will serve as the over-arching document of which all other emergency preparedness plans will build upon and support. The plan will incorporate the actions of the individual departments and sections in the agency and will include the required elements to support a state disaster response.

EMPIRE AGENCY COMPREHENSIVE EMERGENCY MANAGEMENT PLAN (CEMP)

SECTION I

GENERAL CONSIDERATIONS AND PLANNING GUIDELINES

This section of the plan identifies the purpose, the scope, assumptions and the anticipated concept of operations that the agency may take in response to an emergency. When developing this section, it is important to identify why the planning effort is being undertaken, the expectation (goals) of the CEMP, and how continuity of operations will come into play. It's equally important to reiterate the agency's stance on utilizing a comprehensive, all-hazards approach to emergency preparedness.

A. Introduction

Agency operations may be impacted by a variety of emergencies or disaster situations. Some emergency situations may be insignificant in nature, requiring little action to mitigate, while other emergencies may have a significant impact on the agency and may include the loss of life. The origin of the hazards may be internal or external and may have a substantial impact on the agency as well as the local community. In addition, a variety of agency operations or key support vendors may be impacted by the emergency or as a cascade effect of the emergency. Similar to community emergency planning, the agency has identified the required elements to effectively prepare for, respond to and recovery from an emergency or disaster situation and to ensure that the agency can maintain its function in government.

B. Purpose

The purpose of this plan is to provide a framework for the agency to respond to an internal or external emergency that may present an immediate danger to life, health and the agency property. This plan establishes a concept of operations, strategies and tactics to guide agency preparedness and response activities to ensure uninterrupted agency operations. The objectives of the Plan are:

- To identify, assess and prioritize agency vulnerabilities to emergencies or disasters and the resources available to prevent or mitigate, respond to, and recover from them.
- To outline short, medium and long range measures to improve the agency's capability to respond to and recover from an emergency.
- To provide for the efficient utilization of all available resources during an emergency.
- To ensure the continuity of operations of the agency in times of emergency or disaster situations.

C. Scope

The Empire Agency Comprehensive Emergency Management Plan outlines overall agency policies and activities in three areas:

- Agency **Risk Reduction** efforts focus on identifying hazards, mission critical agency business processes and systems, potential continuity problems affecting the agency, and steps taken to prevent or mitigate those problems.
- **Response** involves measures to recognize and respond to an emergency, provide for a warning system, identify protective actions, and to ensure that mission critical agency activities are carried out. Response efforts also encompass efforts to alleviate damage, loss and hardship and other issues associated with business continuity. Further, response also includes those agency actions which support the overall state effort to assist communities that have experienced damage and losses as a result of emergencies.
- **Recovery** efforts include short and long-term strategies to restore agency business operations following an emergency, and should include identifying ways to prevent/mitigate internal hazards and mitigate the effects of external hazards.

D. Planning Assumptions

The Planning Assumptions should serve as the technical planning basis of why the planning effort is being undertaken. In addition, to the extent practical, the assumptions should encompass what the anticipated impacts of an emergency may be on the agency, and should consider the hazards as a worst-case scenario.

Planning assumptions are key inputs and foundational concerns that serve as the technical planning basis for the development and implementation of the Empire Agency Comprehensive Emergency Management Plan. Several assumptions were identified in developing the CEMP, and include the following:

1. A hazard may be of a natural, technological or human-caused nature, and may originate from an internal or external source.
2. The occurrence of a hazard may have a severe impact on the agency, the facility and its system operations, and the staff that may be called upon to continue agency operations.
3. Some emergencies may warrant the employees to take some sort of protective action, such as sheltering in place or evacuating.
4. In some cases, portions of or the entire agency facility may be inhabitable, requiring the use of an alternate facility.
5. Vital agency functions will need to be carried out regardless of the extent of damage or impact of the emergency.

6. The agency has completed an assessment of its business processes and has identified the required elements that are necessary to ensure continuity of operations at a remote location.
7. The agency has taken steps to identify an alternate facility.
8. In a widespread community disaster, employees may need to take the appropriate steps to ensure that safety and security of their families prior to returning to work. This could have a negative impact on staff assignments.
9. There may be disruptions in utility services including electric, gas, telecommunications, water and cable.
10. Vendors, county and local governments, and other state agencies that the Empire Agency normally deals with may also be responding to the emergency, and may be experiencing some disruption in agency operations.

E. Concept of Operations

The purpose of this section is to identify an anticipated chain of events during an emergency. This section can often be difficult to depict due to the variety of hazard scenarios, incident specifics, and the way a hazard presents itself. The key is to consider this component in an all-hazards setting and utilize a consistent strategy in responding to an emergency, no matter how big or how small. The thought process should include the initial recognition of a hazard and the notification and activation of the response organization. The following is an **example** of a Concept of Operations that considers both internal and external hazards.

1. The Occurrence of an Internal Hazard:
 - A. An internal emergency occurs or poses a threat to the occupants and/or the facility.
 - B. The hazard is recognized and its presence is either remedied immediately per agency protocol or is relayed up the chain of command for consideration and action, if appropriate.
 - C. The decision is made to respond to the emergency. This decision will be made by the Agency Emergency Response Coordinator.
 - D. The Agency Emergency Response Coordinator alerts and notifies the employees, issues protective action(s), and either continues operations at the facility or utilizes an alternate facility.
 - E. Protective actions are ordered to the building inhabitants, which may include in-place sheltering, evacuating, lockdown / lockout, and may include disabling the air-handling system. Protective actions are disseminated via portable radio, the alarm enunciator panel or public address system. These actions are facilitated

through the Agency Emergency Response Coordinator, Tenant Safety Organization (TSO) and the Facility Emergency Coordinator.

- F. If the order to evacuate is made, agency employees will assemble at the assembly area located _____ . Individuals designated to bring Go-Kits will do so in the event that the facility becomes uninhabitable.
 - G. The Facility Emergency Coordinator and the Agency Emergency Response Coordinator serve as liaisons to the off-site responding agencies. The Facility Emergency Coordinator briefs local responders on facility issues, while the Agency Emergency Response Coordinator identifies agency actions, accountability and disposition of the emergency.
 - H. If warranted, and with concurrence of the agency executives, the Agency Emergency Response Coordinator will order all agency employees to go to an alternate facility located at _____.
 - I. Agency operations will commence at the alternate facility as soon as practical. The Agency Emergency Response Coordinator and Facility Emergency Coordinator will continue to monitor the status of the primary facility and, if feasible, will coordinate with local government to determine when agency operations can resume at the primary facility.
2. The Occurrence of an External Hazard:
- A. An external emergency occurs or poses a threat to the occupants and/or the facility. This information is received via National Oceanic & Atmospheric Administration (NOAA) weather radio, local media outlets or through existing lines of communication.
 - B. The hazard / threat is recognized and its presence is relayed up the chain of command for consideration and action, as appropriate.
 - C. If appropriate, the decision is made to respond to the emergency. This decision will be made by the Agency Emergency Response Coordinator.
 - D. As conditions warrant, protective actions are ordered to the building inhabitants, which may include in-place sheltering, evacuating, lockdown or lockout, and may include disabling the air-handling system. Protective actions are disseminated via portable radio, the alarm enunciator panel or public address system. These actions are facilitated through the Agency Emergency Response Coordinator, Tenant Safety Organization (TSO) and the Facility Emergency Coordinator.
 - E. If the order to evacuate is made, agency staff will assemble at the assembly area located _____ . Individuals designated to bring Go-kits will do so in the event that the facility becomes inhabitable.

- F. The Facility Emergency Coordinator and the Agency Emergency Response Coordinator serve as liaisons to the off-site responding agencies. The Facility Emergency Coordinator briefs local responders on facility issues, while the Agency Emergency Response Coordinator identifies agency actions, accountability and disposition of the emergency.
 - G. If warranted, and with concurrence of agency executives, the Agency Emergency Response Coordinator will order all agency employees to go to an alternate facility located at _____.
 - H. Agency operations will commence at the alternate facility as soon as practical. The Agency Emergency Response Coordinator and the Facility Emergency Coordinator will continue to monitor the status of the primary facility and, if feasible, will coordinate with local government to determine when agency operations can resume at the primary facility.
3. Initial Utilization of the Alternate Facility
- A. The Agency Emergency Response Coordinator works in close coordination with the executive staff and section / department heads to facilitate agency continuity and emergency activities and conduct a roll call. In addition, the Agency Emergency Response Coordinator activates the alternate facility, assists departmental leaders in reestablishing their respective functions and prepares to brief the executives on the status of the response.
 - B. Agency executives will conduct a situational analysis of the event to identify priorities and set short-term and long-term objectives. Information provided from the Facility Emergency Coordinator and the Agency Emergency Response Coordinator will assist in identifying objectives. Agency public affairs staff and legal counsel will assist in developing and authenticating press releases, human resources issues, and support law enforcement in any needed next of kin notifications.
 - C. Section/department heads utilize Go-Kits, portable databases, redundancies and off-site storage in continuing the continuity of their section within the agency.
 - D. In response to an emergency, Empire Agency will utilize its own facilities, equipment, supplies and resources first. Such resources may include standard office supplies to support basic agency functions. If the emergency exhausts or destroys those resources, the agency will utilize the appropriate state procurement policies and contracts in replenishing supplies. The agency will keep a detailed list of expenditures for the purposes of reimbursement.
 - E. Empire Agency will utilize an agency communications plan (communications tree) to advise employees of staffing patterns, assignments, and the anticipated work schedule for the coming days. Staff patterns may include optional or

mandatory staff rotations to allow all members of the workforce the opportunity to work. The communications plan is to be kept up-to-date.

- F. The Agency Emergency Response Coordinator will work in close coordination with agency executive staff in acquiring Critical Incident Stress Management for agency employees.
- G. The Agency Emergency Response Coordinator will work in close coordination with agency executive staff agency, local responders and the appropriate state agencies in returning to the primary facility or acquiring another facility to operate from.
- H. In the event of a widespread emergency that requires a state response, the Agency Emergency Response Coordinator (or Disaster Preparedness Commission Liaison, as appropriate) will serve as the agency liaison to support the activation of the State Emergency Coordination Center (SECC).
- I. Direction and control of State risk reduction, response and recovery actions is exercised by the New York State Disaster Preparedness Commission (DPC), coordinated by the State Office of Emergency Management (SOEM). SOEM coordinates state response and recovery activities under provisions of State Executive Law Article 2-B and the State Comprehensive Emergency Management Plan.

F. Legal Authority

Legal authorities should be identified that authorize or require the development of the plan. Citations 1 and 2 apply to all state governmental agencies. The remaining may apply depending on the agency / facility. Agencies are encouraged to identify any state/federal regulation that empowers the agency to make critical decisions in times of emergency.

This plan, in whole or in part, may rely upon the following laws or regulation for the power necessary for its development and implementation:

1. New York State Executive Law, Article 2B.
2. New York State Executive Order #26 of 1996.
3. Various federal regulations including:
 - 29 CFR 1910.38; *Emergency Action Plans*
 - 29 CFR 1910.39; *Fire Prevention Plans*
 - Identify other federal statutes
4. Other (Specify)
 - Example: state law/regulation

5. Standards and Recommendations:

- a. NFPA 1600: *Standard on Disaster/Emergency Management and Business Continuity*
- b. FEMA Guide to Continuity of Operations Planning
- c. NFPA Life Safety Code 101

G. Plan Maintenance and Updating

Applies to Step 9 and 10 of the Planning Process: A plan should be considered as a “living, breathing document”. Plan stewardship is key to ensuring the plan is updated on a routine basis. It is of the utmost importance for agency executives to support to review, and equally important to identify a revision cycle and who will be maintaining the CEMP.

1. The Empire Agency Commissioner is responsible for identifying the policy in maintaining and updating this Plan. The Agency Emergency Response Coordinator will lead the effort with the various sections / departments, the Tenant Safety Organization and utilize input from the Facility Emergency Coordinator.
2. This CEMP shall be reviewed annually and updated as necessary. It should also be reevaluated when any of the following conditions occur:
 - a) Regulatory changes
 - b) New hazards are identified or existing hazards change
 - c) Resources or organizational structures change
 - d) After tests, drills, or exercises
 - e) After disaster/emergency responses
 - f) Infrastructure, economic, geopolitical changes
 - g) Funding or budget-level changes
3. All sections and departments are responsible for a quarterly review of their emergency response role and procedures, and provide any changes to the Agency Emergency Response Coordinator by the end of each quarter.
4. The Empire Agency Comprehensive Emergency Management Plan will be reviewed and updated annually, with revised pages distributed by March 1 of each year.

EMPIRE AGENCY COMPREHENSIVE EMERGENCY MANAGEMENT PLAN (CEMP)

SECTION II

RISK REDUCTION (PREPAREDNESS)

This section of the CEMP should identify all of the Risk Reduction activities that the agency will undertake in preparation for an emergency. The scope of the Risk Reduction efforts should be consistent with an all-hazards approach. Risk Reduction activities can range from the very expensive to a minimal expense, such as training and exercising. The key is to explore options, think broad-based and be creative. This section contains critical components of Step 1 (The Planning Team), Step 2 (Hazard Identification), Step 3 (Risk Reduction) and Step 4 (Capability Assessment) of the Emergency Planning Process.

A. Identification of Emergency Preparedness and Response Teams

Applies to Step 1 and Supports Step 3 of the Planning Process: The text below provides examples of various individuals / teams that could be assembled to support emergency preparedness initiatives. The teams should be comprised of the appropriate individuals, and should have Executive support / representation. Understandably, some agencies may not have the level of staff to support the teams identified below, but consideration must be given to performing the associated tasks within a manageable span of control.

1. Tenant Safety Organization (TSO)

The Empire Agency has developed a TSO to support emergency preparedness and response activities. The TSO is comprised of facility management staff and employees who have volunteered to support emergency preparedness initiatives. The TSO includes the functional components of Fire Wardens, Floor Wardens, Floor Marshals and those who may additionally perform as Evacuation Aides to assist the disabled. Select members of the TSO will be represented as part of the Emergency Planning Team of the agency.

2. Designation of the Empire Agency Emergency Response Coordinator (AREC)

The Empire Agency has also identified an Agency Emergency Response Coordinator. The coordinator has the primary responsibility to act as a liaison between Agency Executive Staff, the Facility Emergency Coordinator and the TSO. The Agency Emergency Response Coordinator ensures that the executive policies and initiatives regarding emergency preparedness are disseminated to individual departments / section leaders for implementation. In addition, the coordinator serves as the agency liaison to the State Disaster Preparedness Commission.

3. The Empire Agency Emergency Planning Team

The Empire Agency has developed the an emergency planning team to guide the agency's preparedness, response and recovery planning efforts. In addition to Executive representation, the team is comprised of select members of the TSO, the Facility Emergency Coordinator and the Agency Emergency Response Coordinator. Other representation may include key departmental or section leaders. As necessary, the planning team will work in coordination with the appropriate state agencies (i.e., DSP, OFPC, OGS, SEMO) and will coordinate response activities with the local emergency services, as appropriate.

4. Designation of the Facility Emergency Coordinator (FEC)

The Empire Agency has identified a Facility Emergency Coordinator. The coordinator is the lead in facility-related issues and activities in support of the TSO. In addition, the Facility Emergency Coordinator serves as a liaison to the Empire Agency Emergency Response Coordinator as well as the off-site local response agencies. Additionally, the Facility Emergency Coordinator will serve as a member of the Empire Emergency Planning Team.

B. Lines of Succession

Part of Step 3 of the Planning Process: In addition to putting a facility at risk, the occurrence of an emergency or disaster may also have an impact on the health and safety of the employees. Each agency must come to the realization that some employees may be seriously or fatally injured during an emergency. As a result, key agency personnel may be unable to support the agency in the response and recovery efforts. To address this concern, each agency should identify a line of succession (at least 3 deep) for each key agency employee, including agency executives and members of the emergency response teams. This concept is also applicable to help ensure that the agency can effectively respond to an emergency in the event that key staff is unavailable at the time of the emergency (i.e., travel, leave, etc.). Cross training of employees in their roles will be key as well.

1. The Empire Agency has identified a line of succession for the each key position. For the Executive staff, the succession will be as follows:
 - The Agency Director / Commissioner
 - The Agency First Executive Deputy Director / Commissioner
 - Deputy Commissioner, Administration

2. All sections / departments have identified a similar line of succession, following grade. The delineation is as follows:
 - M-1
 - SG-23
 - SG-18

In the event the emergency causes serious injury or death to large a number of agency employees, the Empire Agency will utilize key staff from its regional offices to manage mission-critical tasks, as appropriate. In the event that the staff of a regional office is

incapacitated, programmatic staff from other regional offices or headquarters will assume those roles. Deployments will be made on a temporary basis, and will include a rotation of staff to support the operation.

C. Identification and Analysis of Potential Hazards

Step 2 of the Planning Process: This portion of the plan provides for the identification of hazards that the agency must prepare for, respond to and recover from. Hazard identification should include internal hazards (i.e., fire) as well as external hazards (i.e., chemical release). In assessing the external hazards, agencies should consider obtaining advice and assistance from local response agencies as well as the appropriate state agencies. Several methodologies exist to identify hazards, and range from the simple to the complex. Hazards are community based. The list of hazards and their ranking will be different for each facility. Therefore, it is important for each facility within an agency to conduct a Hazard Analysis and to look at natural, technological and human-caused hazards. In addition to being an excellent awareness tool, the analysis should assist an agency in identifying where their efforts would be best served in developing contingency plans and incorporating mitigation measures and activities. The State Office of Emergency Management utilizes the program **HAZNY** (Hazards New York) to identify and rank potential hazards. For more information, see the list of resources in Appendix A at the end of this document.

1. The Empire Agency Emergency Planning Team conducted a hazards analysis to identify which hazards may impact the facility, the employees and have a negative impact on the continuity of operations. The analysis:
 - Identified potential internal and external hazards, including natural, technological, and human-caused hazards.
 - Identified the probable impact of each of those hazards.
 - Provided a basic method for analyzing and ranking the identified hazards.
 - Incorporated the expertise and community knowledge of local response agencies.

The rating and ranking results of the hazard analysis are found in Attachment 1 to this section of the CEMP.

2. The Empire Agency Emergency Planning Team will review the hazards and consider risk reduction measures to incorporate for each hazard. The agency will seek advice and assistance from other agencies that have technical expertise in mitigating certain hazards.

Part of Step 3 of the Planning Process: Upon completing a hazard analysis, the planning team should consider applying Risk Reduction (Prevention and Mitigation) measures to those hazards. The scope of Risk Reduction measures should be applied to highest ranked first, and then address the lower ranked hazards. Like the analysis, Risk Reduction measures can vary in expense and application. Advice and assistance should be sought from agencies that have specific technical expertise in certain hazards. For example, the Division of State Police can provide technical assistance in applying Risk Reduction measures for physical security. Many other agencies, such as SEMO, OFPC, OHS, CSCIC and OGS can provide technical assistance in other key areas as well. Agencies are encouraged to seek this assistance from these and other state agencies, as appropriate.

3. For each hazard reduction action identified, the following information is to be considered by the Empire Agency Emergency Planning Team:
 - a description of the action
 - a statement on the technical feasibility of the action

- the estimated cost of the action
- the expected benefits and the estimated monetary value of each benefit
- an estimate of the level of agency support for the action

This information will be consolidated into a Risk Reduction Report. The Risk Reduction Report will prioritize and make recommendations concerning the identified actions. The report on a risk reduction actions for severe weather can be found in Attachment 2 to this section of the CEMP.

Part of Step 3 of the Planning Process: The Risk Reduction report is a suggested concept as a means to capture and document the Risk Reduction activities that an agency has undertaken. While suggestive, the concept is beneficial in categorically quantifying and documenting the application of Risk Reduction measures when seeking or implementing federal funds to conduct such measures.

4. The Empire Agency Emergency Planning Team has taken several key steps to prevent a hazards occurrence or mitigate the effects of a hazard. These efforts include:

When addressing mitigation, agencies can consider implementing mitigation measures in a short-term / long-term methodology. The short-term measures could be implemented almost right away, while long-term mitigation actions take place over a longer period of time. Mitigation measures should also be considered where capital programming is under consideration or capital improvements are being made. See Appendix B for more information on mitigation programs.

Non-Structural Mitigation Measures (identify)

- _____

- _____

- _____

- _____

Examples:

- Develop a training and exercise regimen for agency executives, members of the TSO, the Facility Emergency Coordinator and the Agency Emergency Response Coordinator.
- Incorporating the use of a National Oceanic & Atmospheric Administration (NOAA) Weather Radio and other broadcast media as a means of receiving an early warning that

hazardous weather or a hazardous situation is developing.

- Incorporating the use of an alert and notification system to activate the emergency response organization (i.e., TSO, Facility Emergency Coordinator, Agency Emergency Response Coordinator) in an efficient manner.
- Incorporating the use of a warning system, with redundancies, to warn building occupants of an impending or actual emergency and the appropriate protective actions to take.
- Incorporating various contingency plans that serve as an annex to this CEMP. These annexes include a lockdown / lockout procedure, an in-place shelter annex, an evacuation annex and procedures for utilizing an alternate facility.

Structural Mitigation Measures (identify)

- _____

- _____

- _____

- _____

Examples

- Incorporating physical security upgrades, including access and egress controls, perimeter security, credentialing, vehicular parking polices, the use of bollards at primary exits and securing / upgrading the building air-intake system.
- Incorporate the use of security window film to hold glass intact in the event of it being broken to help in preventing glass from becoming lethal flying projectiles.
- Incorporated the use of a back-up generator for use in emergencies or disasters that may have an impact on the availability or distribution of power.

D. Training of Emergency Personnel

Part of Step 3 of the Planning Process: Training is key to an effective emergency response. Training should be provided to all employees that are considered part of the emergency response organization, including agency executives. Cross training should be considered to support the lines of succession of the agency. SEMO offers a variety of levels of training in the Incident Command System (ICS), which is vital in successfully managing a response to an emergency.

1. The Empire Agency Executive staff has the responsibility to ensure that members of the response organization and all agency employees have received training relative to their position and function during an emergency. Agency Executives have delegated the responsibility to the Empire Agency Emergency Coordinator. Such training programs will:
 - Include information on the characteristics of hazards and their consequences and the implementation of emergency response actions, including protective actions.
 - Include Incident Command System (ICS) training, focusing on individual roles.
 - Address the intergovernmental concerns of disaster interface with various levels of government, including support state response activities.
 - Provide emergency personnel with the variety of skills necessary to help reduce or eliminate hazards and increase their effectiveness to respond to and recover from emergencies of all types.
 - Be provided in crisis situations, that requires additional specialized training and refresher training or cross-training to support lines of succession.
 - Include periodic exercises and drills to evaluate capabilities and preparedness, including a full scale operational exercise that tests a major portion of the CEMP, and conduct regular drills to test readiness of warning and communication equipment.

Step 8 of the Planning Process: Training and exercising go hand in hand with testing the effectiveness of a plan. Plans should be tested as part of the planning process and not during the actual emergency.

2. The training will be provided consistent with the normal working hours of agency staff.

E. Response Capability Assessment

Step 4 of the Planning Process: A Response Capability Assessment is a planning tool that is used to evaluate the effectiveness of an emergency response plan and the agency's ability to implement it. A tabletop exercise is the choice methodology to use when conducting a capability assessment. In this exercise, key agency staff is presented a scenario of a simulated emergency situation in an informal setting by a trained exercise facilitator. The exercise is designed to elicit discussion by participants as they attempt to resolve hazard-specific problems based on existing resources and procedures. Selection of the hazard should be based on actual or potential threats identified in the hazard analysis. The results of the assessment should assist in identifying both strong and weak points in current plans and capabilities, and should provide direct input into plan development or review. In the example below, the Capability Assessment identified several key personnel and resources that are needed to ensure the agency's ability to respond to an emergency and continue its operation as a state governmental entity.

1. The Empire Agency has conducted two table-top exercises based on hazards of concern as identified by the Hazard Analysis. The exercises were conducted as a means to assess response capability, but also served as a training component.
2. The exercises identified areas where improvements can be made into the existing protocols and procedures for the agency's response to an emergency. Those corrective actions have been documented in a Capability Assessment Report (CAR).
3. The exercises also identified key personnel and resources that will be critical to the agency's response to an emergency. These include:

1. Personnel: Key personnel have been identified in the following categories:

- Executive
- Department / Section Heads
- Computer Programmers, Programmer / Analysts, System Administrator
- Building System Maintenance
- Public Information Staff
- Members of the TSO, the Agency Emergency Response Coordinator and the Facility Emergency Coordinator.

2. Resources: Agency resources critical to support the agency's response to an emergency include:

- Habitable building / facility space.
- An alternate agency facility, including a Departmental Operations Center.
- Alternate or standby computer equipment.
- System diagnostic equipment and programs.
- Programmatic materials, files and supporting documentation.
- Key support vendors, to include those considered as critical infrastructure.
- Warning / communications equipment.
- Key supplies.

F. Education and Awareness

All employees of an agency should be trained in what their role is in response to an emergency. In addition to training the response organization, the remainder of the employees should receive awareness training in emergency response, such as how they'll receive warning, what the evacuation routes are, where the congregate area or assembly point is, and what is expected of each employee in an emergency.

1. The Empire Agency Executive has the responsibility to ensure that all of the agency employees have had the opportunity to receive emergency preparedness training.
2. Agency Executives have delegated the assignment to the Empire Agency Emergency Response Coordinator (AERC).

3. The training will be coordinated with the appropriate section / department head to ensure a minimal interruption of normal work duties. The training will be conducted at least twice per year, in April and October. Training will include:
 - Education on hazards that may impact the facility, both internal and external.
 - An overview of the planning efforts that have been done by the agency.
 - Familiarizing staff with the kind of protective measures the agency has developed to respond to any emergency.
 - How the employees will be warned in an emergency.
 - What is expected of each employee.
 - References on emergency preparedness for their families.

G. Alternate Facility

In addition to identifying hazards, the Hazard Analysis can assist in identifying the potential impacts of an emergency. These impacts may warrant an agency to relocate for a short period of time, or perhaps indefinitely. In either case, agencies must consider the implications and plan appropriately. Agencies should consider another facility prior to the emergency and should consider procurement via a contract or Memorandum of Understanding (MOU). OGS can provide assistance in identifying an alternate facility as well. The alternate facility needs to be “turn-key”, and not lacking the essentials (i.e., parking, work space, restrooms, handicap accessible, etc.). The concept is an important factor in maintaining continuity of operations, and is equally important if the agency utilizes a Departmental Operations Center (DOC) to support state responses to a disaster.

1. The Empire Agency has identified an alternate facility to operate from in the event that the primary facility is damaged or destroyed. The facility was procured utilizing a Memorandum of Understanding (MOU) with the owner, in accordance with OGS contract policies, and is only accessible in the event of an emergency. The facility is located at 2137 Van Wormer Avenue, Empire, New York.
2. Based on input from state / local emergency services, the Empire Agency Executive will make the decision to relocate to the alternate facility. The Empire Agency Emergency Response Coordinator will disseminate the information to department or section leaders. Agency staff will receive notice to report to the alternate facility via their individual department or section supervisor.
3. When relocating, supervisory staff will bring their Go-Kits to the alternate facility.

H. Specific Risk Reduction Measures to Ensure the Continuity of Operations

The previous pages have identified a variety of valuable Risk Reduction measures that can be applied to all hazards. While these measures are beneficial and may be used to support the organization, it is important to emphasize Risk Reduction measures specific to agency continuity of operations. The following text attempts to do just that, and builds upon the Risk Reduction measures previously identified.

1. Agency (Business) Impact Analysis

- A. The Empire Agency has conducted an Impact Analysis to determine, to the extent possible, the potential impacts on the agency, of the hazards identified in the Hazard Analysis. Based on the analysis, Empire Agency Executive staff had identified mission critical functions that are required to allow the agency to continue its function as a governmental entity.

A Business Impact Analysis (BIA) is an executive level or supervisory level analysis that identifies the impacts of losing the agency's resources. The loss of the agency resources are a direct result of the hazards that were identified in the Hazard Analysis. The Impact Analysis assists in identifying the business or agency impacts of the emergency in order to provide the entity with reliable data upon which to base decisions concerning continuity planning. When applied to agencies, individual department or sections can identify mission critical functions that are vital to the continued operation of the agency. In addition, the analysis should also identify the key services and support items (i.e., databases, contact lists, documentation, paperwork, etc.) that are necessary to maintain those critical functions. To accomplish this task, agencies should first identify mission critical functions that are required to allow the agency to continue to function as a governmental entity. The strategy and identification of these functions should come from agency Executives, utilizing a top-down approach. Departmental / section leaders can then identify the programmatic materials and support items that will be needed to support the Executive strategies, and thus support the goals and objectives of the agency. Executives and departmental / section leaders should concur on the materials. Upon concurrence, department / section leaders can identify which services or support items are required to meet the programmatic demands, and then begin to prioritize which resources are critical to maintain and to have available upon moving to an alternate facility. This is of special concern if the agency is listed as a "High Risk Occupancy". High Risk Occupancies are defined as occupancies or locations where:

1. Failure of a specific building / facility system or equipment would directly and severely risk the safety or lives of citizens or employees;
2. Building / facility space has 24 hour occupancy; or
3. Building / facility space houses computer equipment which supports one of the State's "Top 40" Priority Systems, and a failed building / facility system or equipment would cause the Priority System to stop operating.

State agencies should be aware of their classification into this category based on planning efforts for the Year 2000 Date change.

- B. Departmental / section leaders have identified and prioritized programmatic materials and support items to support the Executive strategies. Department / section leaders have also identified which services or support items are required to meet the programmatic demands, and have prioritized the resources that are critical to maintain in the event that an emergency or disaster warrants moving to an alternate facility. Department / section leaders identified those resources on forms as identified below in table 1. Additional forms can be found in Attachment 3 to this section of the CEMP.

Priority	Essential Programs	Essential Functions
1		
2		
3		
4		
5		
6		

Table 1: Prioritization of Essential Programmatic Functions

2. Mission Critical Systems

Mission Critical Systems are those systems that are utilized to support the programmatic and Executive goals of the agency. Working in coordination with agency Executives and department / section leadership, IT staff should support the Impact Analysis by identifying systems or components of systems that are needed to support the goals of the agency. The systems potentially affecting the business process include computer and communications systems, associated hardware and software, web-based services and other external influences. Of key concern is the loss of components or systems that affect life or public safety, revenue or payment systems, public exposure or loss of confidence in the agency, whether the process is agency mission critical or if the process only affects agency operational systems.

- A. The Empire Agency has conducted an in-depth review of the agency computer systems, capabilities, and the ability to support the goals of the agency in times of emergency. The review considered the systems required to meet the sectional (programmatic) demands, as well as the base systems that support the operational systems of the agency. In coordination with Executive and department / section leaders, IT staff identified those systems as identified below in table 2. The complete listing and identification of those systems can be found in Attachment 3 to this section of the CEMP.

System Name	Current Location	Other Locations

Table 2: Identification of Mission Critical Systems

3. Mission Critical Files, Records and Databases

Mission critical files, records and databases are not only important for regulatory or historical purposes, but also because many of these items are active files currently supporting the needs of the agency. Backing up files is important, and may be the determining factor in agency continuity. Consideration should be given to utilizing off-site or redundant storage whenever possible. Additionally, consider implementing section or agency policy for staff to provide daily or weekly back-up of information, either on media that can be taken to an alternate facility or at a remote location.

A. In addition to identifying the systems, agency efforts have included a review of vital records, files and databases that would be needed to support agency continuity. The review considered whether or the file, record or database is:

- Hardcopy or electronic.
- Available at another location or through another server or provider.
- Has a back-up; either on disk or at one of the Empire Agency Regional Offices.
- Staged at an alternate facility, such as the agency warehouse.
- Web-based storage via portal or a contracted service provider.

Consideration should be given to utilize as much off-site redundancy or storage as possible, including utilizing secure private sector entities who provide storage solution services, both electronic and hardcopy

B. Each department / section leader has been directed to assist their staff in identifying and documenting the critical records, files and databases that are pertinent to their section's responsibilities.

C. Each of the files has been documented on a form identified as Table 3 below. This form is to be maintained by each section / department leader on a weekly basis.

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location

Table 3: Identification of Critical Files, Records and Database.

D. The Empire Agency Executive has directed all sections / departments of the agency to begin bi-weekly back-up of all electronic files and databases. The data is to be copied onto CD by the lead of each project, which in turn is provided to each section / department leader. In addition, each section / department head has been directed to maintain an active file of this data on his/her agency-assigned laptop computer.

4. Mission Critical (Emergency) Go-Kits

Agencies need to make every effort to ensure that they have access to their data, files and information in the event that an emergency renders a facility uninhabitable. While off-site redundancies or web-based data storage is the most desirable, the concept of the Go-Kits is to provide a means by which an agency could continue their operations at another location in the event the staff had to evacuate. The key is that the critical information (identified above) needs to be kept up date, stored on to a CD on a regular basis, and needs to be readily accessible. Readily accessible is key here because the custodian of each Go-Kit will need to utilize the kit in a fast-moving emergency. The kits need to be physically appropriate in size to allow one individual to take it to the alternate site without needing assistance or hampering the evacuation process.

- A. The Empire Agency Executive has determined that the agency will utilize Emergency Go-Kits to support the agency's response to an emergency. Each section is to maintain one Go-Kit that will support the programmatic needs of the section in support of the mission critical functions identified by the Empire Agency Executive. The department / section leader is responsible for maintaining the kit and coordinating the updating of its contents.
- B. The Go-Kits will contain each section's mission critical files, active records and necessary correspondence as identified in table 3. Whenever possible, data will be stored on CD on a bi-weekly basis.
- C. Department / section leaders are to ensure that the go-kits are of manageable size and weight to ensure that the Go-Kits do not hamper their ability to evacuate in an effective and efficient manner.
- D. Upon evacuation, each department / section leader is to bring the Go-Kit to the alternate facility and make the necessary preparations and staff assignments to utilize the contents of the go-kits.

Attachment 1: Empire Agency Hazard Analysis Results

On July 25, 2005, the Empire Agency, in conjunction with the New York State Emergency Management Office, conducted a hazard analysis using the automated program, *HAZNY* (Hazards New York). *HAZNY* was developed by the American Red Cross and the New York State Emergency Management Office.

HAZNY is an automated interactive spreadsheet that asks specific questions on potential hazards and records and evaluates the responses to these questions. *HAZNY* also includes historical and expert data on selected hazards. *HAZNY* is designed specifically for groups, rather than individual use. The Empire Agency assembled a group of 17 representatives to consider and discuss the questions and issues raised by the *HAZNY* program. Representatives from the State Emergency Management Office facilitated the meeting and recorded the results.

The Results

The Group analyzed 18 hazards potentially affecting the facility. *HAZNY* rated each hazard based on the Group's assessment and assigned a numerical value. These values are categorized as follows:

- 321 to 400: High Hazard**
- 241 to 320: Moderately High Hazard**
- 161 to 240: Moderately Low Hazard**
- 44 to 160: Low Hazard**

The Empire Agency Emergency Planning Team rated the 18 hazards as follows:

Terrorism	335.5
Hazardous Materials In Transit	321.6
Fire	302.5
Flood	299.5
Hazardous Materials Fixed Site	286.2
Utility Failure	235.8
Tornado	230.8
Winter Storm (Severe)	185.8
Severe Storm	179.8
Earthquake	174.8
Ice Storm	173.2
Structural Collapse	172.0
Radiological in Transit	171.2
Transportation Accident	168.5
Epidemic	164.2
Indoor Air Quality	152.2
Infestation	149.8
Armed Intruder	145.5
Civil Unrest	131.2

Empire Agency Risk Reduction Report

Hazard: Severe Storms

Description of the action: Purchase and install NOAA Weather Radio in the main reception area of the Empire Agency. The device will be monitored by the support staff at the front desk in the lobby area.

Technical Feasibility: The device is simple to install and monitor and can be plugged into a standard 110v AC outlet. The device can be programmed to receive a variety of weather-related announcements and receive other emergency-related information.

Estimated Cost: The device costs \$100.00. There are no update or service fees associated with the device.

Expected Benefits: Provide an early warning to emergency situations that may have an impact on agency operations, staff and the facility.

Estimated Level of Support: High. The device will assist the agency in helping to ensure the safety of the employees. It is simple to use and monitor and should not be disruptive to the daily duties of the staff in the assigned areas.

Attachment 3: Mission Critical Programs, Functions and Systems

Priority	Essential Programs	Essential Functions
1	Accounts Receivable	Financial tracking, reimbursement
2	Administration	Agency management, policy
3	IT / Communications	Data, internal / external communications
4	Account Payable	Account status, disbursement
5	Shipping and Receiving	Logistics tracking, delivery of assets
6	Human Resources	Employees payments, health services

Table 1: Prioritization of Essential Programmatic Functions¹

System Name	Current Location	Other Locations
Network Server	Headquarters	None
Phone System	Headquarters	None

Table 2: Identification of Mission Critical Systems¹

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location
Admin Records	Hardcopy	X		
Financial Records	Hardcopy	X		
Personnel Records	Hardcopy	X		
Insurance Forms	Both		X	
Plans, procedures	Electronic			X

Table 3: Identification of Critical Files, Records and Database.¹

¹ The tables identified above are examples of information for the required fields. The tables have been adapted from DHS/FEMA as found in the COOP Planning Template. To acquire the entire template on line, see the list of resources at the end of this document.

EMPIRE AGENCY COMPREHENSIVE EMERGENCY MANAGEMENT PLAN (CEMP)

SECTION III

RESPONSE

Applies to Step 5 of the Planning Process: This section of the plan should identify the roles and responsibilities of those individuals that will play a role in response to an emergency. The assignment of those roles should be clearly delineated and should include the responsibilities of agency executive staff, the agency response organization and facility management personnel. Each agency (and facility) is unique to itself and unlike no other. As such, no sample plan can accurately depict how an agency will respond to an emergency. Rather, each agency needs to consider their own demographics, capabilities, facility incidentals and building management (OGS or otherwise) in writing their response plan. The following section identifies key components to consider that are consistent with an effective emergency management plan.

A. Assignment of Responsibilities

1. The Role of the Agency Executive

The Empire Agency Executive is ultimately responsible for the agency's mission and function as a state governmental entity. As such, the Agency Executive:

- will serve as the Agency Administrator, sets policies, authorities, goals and objectives and the prioritization of the agency's emergency preparedness program.
- may assume personal oversight of the agency's emergency response organization if the scope and magnitude of the emergency indicates the necessity of personal management and direction of the response and recovery operations;
- controls the use of all agency owned resources and facilities for disaster response;
- may direct the implementation of this plan and any or all of its components, mechanisms and functions (i.e., evacuate, shelter, etc);
- may request assistance from local or state government, as appropriate, when it appears that the incident will escalate beyond the capability of the agency's resources or capabilities;
- may provide assistance to other agencies in a collective state disaster response.

2. The Role of the Agency Emergency Response Coordinator (AERC)

The Empire Agency Emergency Response Coordinator (AERC) has been delegated the authority to be the lead on the emergency preparedness program of the agency. The Agency Emergency Response Coordinator serves as the administrative arm of the agency executive in coordinating emergency preparedness initiatives. In response to an emergency, the AERC:

- activates the agency's response organization and initiates agency response activities;
- works in close coordination with the executive staff and section / department heads to facilitate agency continuity and emergency activities and conduct a roll call.
- activates the alternate facility, assists departmental leaders in reestablishing their respective functions and prepares to brief the executives on the status of the response.
- maintains and manages the agency's Departmental Operations Center (DOC);
- facilitates coordination between the agency executive and:
 - a) the Facility Emergency Coordinator (FEC)
 - b) the Tenant Safety Organization (TSO)
 - c) the local emergency response agencies
 - d) county government
 - e) other state agencies

3. The Role of the Facility Emergency Coordinator (FEC)

The Facility Emergency Coordinator has been identified (or utilized) as the lead in facility-related preparedness issues. The FEC serves as a liaison to the Agency Emergency Response Coordinator and to OGS, as appropriate. Additionally, the Facility Emergency Coordinator will:

- serve as a member of the Empire Emergency Planning Team and the Tenant Safety Organization.
- serve as a point of contact with the off-site local response agencies.
- in coordination with the Agency Emergency Response Coordinator, notifies and briefs occupants of the facility, if any, and other organizations involved in an emergency response.
- facilitates coordination between the Agency Emergency Response Coordinator and:
 - a) facility maintenance

- b) the local emergency response agencies
- c) other entities/agencies occupying the facility
- d) local service providers (i.e., telecommunications, water, sewer, etc.)

4. The Role of the Tenant Safety Organization (TSO)

As previously identified, the Empire Agency has developed a TSO to support emergency preparedness and response activities. The TSO is comprised of the Facility Emergency Coordinator and employees who have volunteered to support emergency preparedness initiatives. The TSO includes the functional components of the following:

- a) Floor Wardens: The Wardens directs the evacuees from the floor and monitors the exit route during evacuation. Upon the floor being clear, the Warden reports to the Facility Emergency Coordinator on the status of the conditions in the building and the status of the evacuation.
- b) Floor Marshals/Searchers: Conduct a “sweep” of the assigned floor areas to make sure occupants leave the area and doors are closed, and then proceed to the exits. Upon exiting, the Marshal/Searcher reports to the Wardens whether their assigned area is clear or not. Marshals/Searchers shall meet at the assembly point with the remaining staff.
- c) Evacuation Aides: Assist in evacuating those with special needs.
- d) Stairway / Elevator monitor: Assists in ensuring the egress routes are clear and safe to utilize.

Evacuation Planning: The above identifies the roles of key players of a TSO. In buildings with several places of employment, agencies are encouraged to coordinate their plans with the other building tenants. A building-wide or standardized plan for the whole building is acceptable provided that the employers inform their respective employees of their duties and responsibilities under the plan. When multi-employer building-wide plans are not feasible, employers should coordinate their plans with the other employers within the building to assure that conflicts and confusion are avoided during times of emergencies. In multi-story buildings where more than one employer is on a single floor, it is essential that these employers coordinate their plans with each other to avoid conflicts and confusion. Because of the level of detail and coordinative planning associated with evacuations, each agency should develop an evacuation annex to this CEMP.

The TSO will also be utilized to support emergency responses that warrant other protective actions, such as a lockdown/lockout or in-place sheltering. Those staffing the positions identified above will direct employees to remain in the building and will assume a protective posture as the situation warrants. Based on emergency conditions, a protective posture may include staying away from windows, seeking shelter in an interior hallway, or staying in assigned work areas.

B. Alert and Notification of Staff

Alert and Notification: This section should identify the agency’s awareness to a potential emergency and the notification procedure to activate the response organization. This should include the formal recognition of a hazard and a formal methodology for activating the response organization. Each agency and facility is different. Therefore, each agency must utilize all of its available resources (i.e., enunciator panel, public address) to activate its TSO. Also, the mechanisms that are used need to be consistent with the anticipated concept of operations, developed in Section I. Below are key points and some possible suggestions to implement an effective alert and notification system.

1. A potential or actual hazard is recognized and is either originating from an external source or internal source. The agency has utilized a variety of concepts to identify a hazards occurrence in the incipient phase. These include:
 - a) Sensory recognition: (an employee can see, smell or hear the hazard)
 - b) NOAA Weather Radio
 - c) Fire Alarm activation
 - d) Emergency Alert System (EAS)
 - e) Media outlets

2. The emergency warrants either a delayed or immediate response. The decision to activate is either is obvious (i.e., fire) or is a decision that is made after some discussion.

3. The emergency response organization is activated via:
 - a) Direct contact
 - b) The enunciator panel
 - c) Portable radio, cellular
 - d) Phone dialer
 - e) Email (Not to be relied upon in a fast-moving emergency.)

C. Agency Emergency Response Levels

Response Levels: The text below identifies the thresholds for when agency emergency response activities will be initiated. The identification of response levels should be considered to formalize the agency’s approach to “standing up” the response organization. The use of response levels can be very beneficial and can be derived for a variety of scenarios. For example, TSOs could utilize the levels to correspond with weather-related scenarios depending on whether the incoming weather is defined as a “watch” or “warning.” In addition, the response levels could also identify extra measures or response actions that the agency may take for security-related events or in the event there is an increase in the terror threat level as identified by the Homeland Security Advisory System (HSAS). As previously mentioned, every agency is different. Consider utilizing response levels to meet the needs

1. Upon recognition of a potential or actual hazard, the decision will be made to activate the Empire Agency response organization. The notification methodology, identified above, sets into motion the activation of agency emergency response personnel.

2. Each emergency is to be classified into one of three Agency Response Levels according to the scope and magnitude of the incident.
 - a) Response Level 0: Normal day to day operations. Identified as a non-emergency situation, facility readiness status maintained through planning sessions, training, drills and exercises.

 - b) Response Level 1: 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.

- c) Response Level 2: Limited emergency situation with some threat to life, health, or property, but confined to limited area or system of the facility. This situation is mitigated by the local emergency response personnel.
 - d) Response Level 3: 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.
3. The Agency Emergency Response organization will be activated according to the Response Level classification:
- For Response Level 0: Normal day to day staffing.
 - For Response Level 1: Activation of the Agency Emergency Response Coordinator, Facility Emergency Coordinator and select members of the TSO.
 - For Response Level 2: Level one staff is activated and augmented by the remainder of the TSO. The assimilation with off-site response agencies is highly likely at this point.
 - For Response Level 3: Level two staff is activated with a significant local response presence. It is at this point that the agency will activate an alternate facility and implement the continuity of operations plan. In addition, this is also the point where the agency's departmental operations center (DOC) may activate to support the agency's response and recovery to the event.

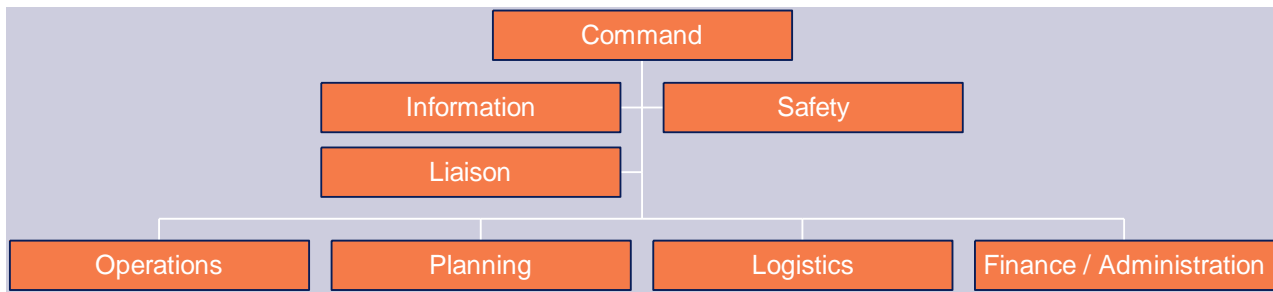
D. The Off-Site Emergency Response Organization

1. The Incident Command System (ICS)

In today's environment, many emergency services organizations respond to an emergency utilizing the Incident Command System (ICS). In all likelihood, the response to an emergency at Empire Facility would be managed, in whole or in part, by the responding agency utilizing ICS.

- a) ICS is organized by five main functions; These are:
 - Command
 - Operations
 - Planning
 - Logistics
 - Finance

This response structure is identified in the chart on the following page.



- b) Under ICS, an Incident Commander (IC) has the overall responsibility for the effective management of the incident, and must ensure that an adequate organization is in place to carry out all emergency functions. The IC directs emergency operations from an Incident Command Post, the only command post at the emergency scene.
- c) In minor incidents, the five ICS functions may all be managed directly by the IC. Larger incidents usually require that one or more of the functions be set up as separate sections under the IC.
- d) Within the Command function, the IC has additional responsibilities for Safety, Public Information, and Liaison. These activities can be assigned to staff under the IC.

E. Assimilation of On-Site and Off-Site Emergency Response Organizations.

Empire Agency endorses the use of the Incident Command System (ICS). ICS allows flexibility in its implementation so that its structure can be tailored to the specific situation at hand. ICS should be initiated by the Agency Emergency Response Coordinator and/or Facility Emergency Coordinator in response to an incident prior to the arrival of the off-site responding agencies.

Upon arrival of the off-site response, the Facility Emergency Coordinator will serve as a liaison between the response agencies and facility management. The Empire Agency Emergency Coordinator will serve as the Empire Agency Incident Commander (IC). It is from this point that the Empire Agency Emergency Coordinator will liaise with the TSO of the agency in support of the Empire Agency Executive. The Empire Agency Executive assumes the ICS role of Agency Administrator, the highest ranking official for the agency.

F. The Empire Agency Emergency Response Organization

Response Organization: Each agency has its own, unique operating structure and response capability. Agencies need to be cognizant of the ICS that will be implemented by the responding agencies and be able to assimilate into the response structure. Further, while a component of the agency will be integrated into the response, the remainder will be maintaining the continuity of the agency. In addition, agencies that utilize regional offices need to plan for how the agency headquarters will maintain lines of communication/coordination with the regional offices in the event of an emergency originating at either facility.

As the emergency begins to unfold, the Empire Agency Emergency Response Coordinator will serve as the Empire Agency Incident Commander. In this capacity, the coordinator assumes the authority to respond to the emergency from the agency's perspective. This includes the oversight for the TSO. The AERC should be represented in the command post established by the local response agencies to represent his or her agency.

The AERC will need to coordinate the issues at hand and begin to activate the alternate site. In the event that the AERC is overwhelmed with the event, or if it appears that span of control will be unmanageable, the AERC will designate a deputy.

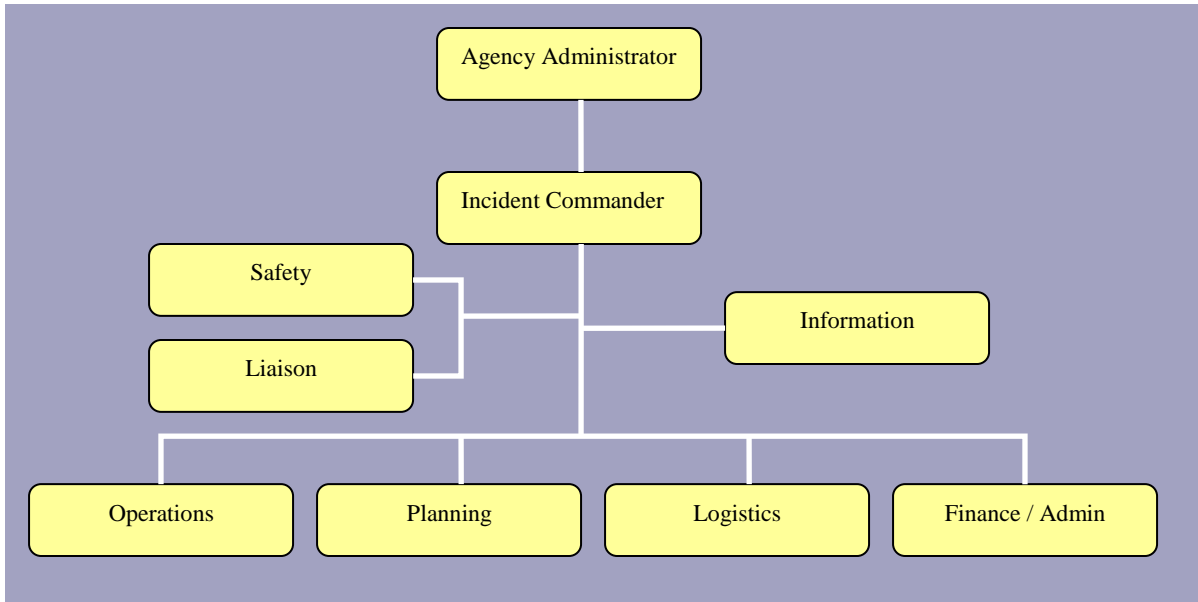
The agency executive (Agency Administrator) will have the ultimate authority of the agency. In times of emergencies, the Agency Administrator will focus on the overall impact on the agency at both the primary site and the alternate site. The Agency Administrator will be coordinating with the executive levels of government, including the Governor's Office, to provide agency-specific details to his or her counterparts. The focus will be agency policy, and it is for this reason that the agency executive has delegated the "response" portion of the emergency to the Agency Emergency Response Coordinator.

The remainder of the agency will serve in a coordinative and facilitative capacity at the alternate site. From there, the agency will assume the ICS positions to support the Agency Emergency Response Coordinator and support the initiation of the continuity of operations plan. Once initiated, the response structure will coordinate with the Agency Emergency Response Coordinator back at the primary site, for any primary site-specific issues or concerns and continue to conduct agency business from the alternate site. For the alternate facility, the agency will utilize its response structure to turn the emergency operation (going from the primary facility to alternate facility) to the anticipated normal day to day operations. The emergency response structure that was activated for the emergency will be demobilized once the agency has returned to normal day to day operations.

1. The Empire Agency Incident Command Structure

The Empire Agency has identified a response structure to be utilized in response to an emergency that requires a response on behalf of the agency. The Incident Command System (ICS) structure is to be implemented based on incident needs. The functional positions identified in the chart below have been assigned to executive staff and section or departmental leaders. Agency employees have been advised of their assignments and have incorporated their respective line of succession for each staff position.

Similar to the off-site response organization, the ICS model is built around five management functions. The individual within the agency designated as the Agency Emergency Response Coordinator has overall responsibility for all five functions in responding to emergencies that may impact the agency. The Agency Emergency Response Coordinator may elect to perform all of the functions, or delegate authority to other agency employees. The principal ICS functions are as follows:



- a) Agency Administrator: Responsible for the overall mission of the agency in support of state government.
- b) Incident Commander: The Agency Emergency Response Coordinator. The AERC is the lead in coordinating agency-related response activities in times of emergencies. The AERC works in close coordination with the Agency Administrator to ensure executive objectives and priorities are identified and addressed.
- c) Operations: Operations is responsible for conducting tactical operations to carry out the Continuity of Operations Plan.
- d) Planning: Planning develops the action plan to accomplish response objectives, collects and evaluates COOP-related emergency information and maintains the status of agency resources, capabilities and level of performance in implementing the COOP.
- e) Logistics: Logistics provides services and support to meet incident response needs. These services may include identifying basic supply issues, contracted support and IT/Telecommunications resources.
- f) Finance / Administration: Finance / Administration is responsible for keeping track of incident related costs, personnel and equipment records, and administering procurement contracts associated with the response.
- g) Information: Information will be staffed by Public Affairs and will be the lead on agency-specific information regarding the response and recovery.

- h) Safety: Will be responsible for coordinating with DOL/PESH to help ensure staff safety at the primary and alternate sites.
- i) Liaison: The Liaison is to serve as the point of contact for the agency to coordinate with other agencies that are assisting in the COOP implementation. This may include supporting the Agency Administrator in coordinating agency mission-related activities with other state agencies in light of programmatic or statutory obligations.

G. Warning and Emergency Information

Warning and Emergency Information: Each agency's facility has its own unique capabilities and characteristics. Agencies need to identify a means to warn its employees of a hazard or threat and identify a means to convey emergency information. The criteria for a warning system is that the system needs to be timely, reliable and effective. Agencies need to ensure that an adequate warning system is in place in the facility and should consider redundancies. Email should not be considered as a primary means of notification. For facilities, some of the mechanisms that are used in alerting and notifying staff are often used to provide warning to building occupants.

1. Agency employees will be warned of a potential or actual hazard by the following methods:
 - a) Fire alarm activation or other audible signal.
 - b) Using the enunciator panel.
 - c) Public address (PA) system.
 - d) Via floor wardens and floor marshals.

Warnings will be initiated by the Facility Emergency Coordinator or the Agency Emergency Response Coordinator, as appropriate.

2. Some of the systems that were identified to warn occupants will also be utilized to provide agency employees with emergency information. This information may include the issuance of protective actions (i.e., evacuate, shelter in-place). Further, this line of communication can also be used to inform agency employees that the COOP plan is being implemented. Agency employees will be provided this information through the following:
 - a) Direct contact (verbal)
 - b) The enunciator panel
 - c) Portable radio, cellular
 - d) Phone dialer
 - e) Email (Not to be relied upon in a fast-moving emergency.)

H. Accountability and Next of Kin Notifications

Accountability and Next of Kin Notifications: Each agency should identify a system for accounting for all of their employees. This can be done via a daily roster identifying staff assignments, locations and leave-related issues. Next of kin notifications are a reality that must be addressed and should be done in cooperation with state or local law enforcement.

1. The agency requires employees to maintain a master calendar on one of the network drives. Each section supervisor reviews the calendar at the start of each business day and verifies staff assignments. Section supervisors will take roll call of their respective staff upon arrival to the congregate area or alternate site. The section supervisor will inform the Agency Emergency Response Coordinator of the status of the roll call.
2. If it is determined that an employee is seriously injured or deceased, the Agency Emergency Response Coordinator will inform the public affairs staff of the situation. Agency public affairs will coordinate with the Agency Administrator and local or state law enforcement in notifying the employee's next of kin.

EMPIRE AGENCY COMPREHENSIVE EMERGENCY MANAGEMENT PLAN (CEMP)

SECTION IV

RECOVERY

Step 6 of the Planning Process-Recovery Planning: The level of preparedness and preplanning will have a correlative effect on the continuity of operations and disaster recovery process of an agency. Agencies that have identified alternate facilities, identified a response structure with lines of succession and have implemented back-up systems, both IT and programmatic, will likely have better success in implementing their COOP than agencies that have not. The Impact Analysis was a key analytical and coordinative tool to help in identifying such systems and mission critical activities. To facilitate the recovery process, agencies should look at implementing short-term goals and then follow through with long-term recovery goals. Short-term goals should be to ensure those mission-critical elements are met, while long-term may identify repatriation to the primary facility or acquiring a new facility. Depending on the event, the owner/tenant status of a facility and the damage incurred, disaster recovery can mean a variety of different things to an agency.

A. The Recovery Process

Disaster recovery is the process of returning the agency to pre-disaster state and to allow the agency to perform as a vital component of state government. In many cases, an agency will be able to return to this state, or better, if mitigation measures are incorporated into the recovery process. The Empire Agency has identified several key mechanisms to successfully implement the COOP and facilitate the recovery process.

During the planning process, the Empire Agency Planning Team put forth the compilation of the Impact Analysis. Based upon the mission critical tasks, the level of preparedness, redundancies and mitigation measures, the Empire Agency Commissioner has identified an acceptable time frame for the restoration of vital services.

If agency operations are significantly affected by the emergency or disaster, short and long-term recovery efforts may need to be considered and implemented to return agency business to normal. The Incident Command System (ICS) structure outlined in the Response Section may be expanded or adjusted to address COOP and recovery-related issues or they may be handled within the normal scope of agency operations, as required. Recovery planning and strategy development may need to examine the following issues:

- Returning to the primary facility, if appropriate.
- Short-term agency-specific objectives to return the agency to normal operations.
- Long-term agency-specific objectives and mitigation.
- Damage Assessment and Reconstruction.
- Participating in or obtaining state/federal disaster recovery assistance.

B. Returning to the Primary Facility, if feasible.

In the event that the primary facility can be occupied immediately following the emergency, the following will apply:

- 1) The facility will remain evacuated until the local emergency response agency has determined that it is safe to re-enter.
- 2) Evacuees will be told they may re-enter from the Agency Emergency Response Coordinator or Facility Emergency Response Coordinator.
- 3) Evacuees will re-enter the facility utilizing interior stairwells as well as elevators.
- 4) Employees will determine, to the extent possible, the impact the emergency had on their specific programmatic areas. Impacted operations will be relayed to the Agency Emergency Response Coordinator via the section supervisor.
- 5) If, upon return, any occupant identifies any personal belongings missing, they are instructed to report such findings to their immediate supervisor/section head.

C. Short-term Objectives to Return to Normal Operations

1. The Empire Agency Commissioner has identified the following policies in implementing the Empire Agency COOP:
 - a) Department / Section heads will endeavor to focus on implementing mission-critical activities and tasks as identified in the Impact Analysis.
 - b) Department / Section heads will utilize the “go-kits” to reinitiate the activities of their respective section.
 - c) Department / Section heads will identify critical and time-sensitive applications and tasks that need to be addressed to perform mission-critical activities.
 - d) Redundant network servers, databases and telecommunications networks will be brought on line.
 - e) Employees will determine, to the extent possible, the impact the emergency had on their specific programmatic areas. Impacted operations will be relayed to the Agency Emergency Response Coordinator via the section supervisor.

Department / Section heads will relay the status of their respective section to the Agency Emergency Response Coordinator, who in turn will advise the Agency Administrator and General Staff of the agency’s status. Upon receipt of each section status report, the Command and General Staff will conduct a planning meeting to update or refine COOP strategies. Any deviation as to the direction of the COOP from the original plan will be disseminated to all agency staff via section / department supervisors.

If shortfalls in capabilities, equipment, supplies or materiel are exhibited, the Command and General Staff will work within the ICS structure to remedy the situation. The response organization will work in coordination with state procurement policies to acquire those assets.

2. Identifying staff assignments and work schedules.

- a) In the event that the emergency causes serious injury or death to agency employees, the line of succession will follow as appropriate. The Agency Emergency Response Coordinator will be advised if the line of succession of each section / department succession has been exhausted and will relay the information to the Agency Administrator.
- b) The Empire Agency will make every effort to ensure that agency employees will have the opportunity to work their regularly scheduled hours. However, the agency may need to implement a work rotation or alternative work schedule to accomplish the objectives at hand. In response to the emergency, agency employees may be asked to work overtime to help the agency in the recovery process. Any assignment of overtime will be consistent with union contracts and policies.
- c) Consideration will be given to those employees who have the capability to work remotely from their place of residence.
- d) In the event that more personnel are needed, the Agency Administrator may seek assistance from the executive levels of state government to acquire support staff. Consideration may also be given to utilizing temporary employment services that are currently on state contract.

3. Providing disaster mental health services to agency employees.

The Empire Agency will make every effort to arrange for mental health services for all of the agency employees that are affected by the emergency. Employees will be offered to attend a voluntary forum for Critical Incident Stress Management (CISM). The CISM can be obtained through the Office of Mental Health or through SEMO in times of a state disaster response.

D. Long-term Agency-Specific Objectives and Mitigation.

Mitigation Planning: Agencies should consider pursuing mitigation activities prior to and following an emergency or disaster situation. While many mitigation concepts have been identified in this document, a variety of federal programs exist to expand upon those mitigation activities that have already been put into practice. In the recovery process, each agency should elaborate and provide examples of how or by what means mitigation activities will be undertaken. Further, agencies should address the cost-effectiveness of mitigation measures or suggest examples of how mitigation can be factored into regular capital programming and other activities of the agency. See Appendix B for more information on mitigation programs.

While OGS has the lead in the reconstruction of the Empire Agency facility, the Empire Agency will consider mitigation measures into the recovery and redevelopment plan for the agency. The agency will identify and prioritize potential mitigation measures based on available funding, current capabilities, and hazards of concern. Such measures may include:

- 1) Implementing engineering solutions to reduce the vulnerability to hazards.
- 2) Implementing upgrades in physical and cyber security.
- 3) Identify off-site, redundant network servers and mission critical information.
- 4) Upgrade the facility warning / communication system.

E. Participating in or Obtaining State / Federal Assistance

1. Recovery and Reconstruction

The federal Robert T. Stafford Disaster Assistance and Relief Act identifies the recovery and reconstructions mechanisms to support disaster recovery and reconstruction. Recovery and reconstruction consists of two phases. Short-term recovery and reconstruction is aimed at returning essential vital services (i.e., water, sewer, security, network services) back to normal. Long-term recovery and reconstruction may take years to conclude and includes risk reductions measures to prevent or mitigate the hazard if it were to occur again. OGS is responsible for assessing all damage to the Empire Agency and is responsible for coordinating the reconstruction and recovery of those facilities.

2. Damage Assessment

Damage Assessment and Reconstruction: Damage assessment is the process of identifying the amount of damage that has been incurred as a direct result of the emergency. The federal Robert T. Stafford Disaster Assistance and Relief Act identifies federal funding mechanisms to support disaster recovery and reconstruction. In a widespread emergency, SEMO coordinates damage assessment activities through state agencies and local governments. The assessment process is a key component in securing a Presidential Disaster Declaration, which then authorizes federal disaster assistance and reimbursement to the state. OGS is responsible for assessing all damage to OGS-administered infrastructure and property, and is responsible for coordinating the reconstruction and recovery of those facilities. Agencies should maintain an open dialog with the OGS representative (building management) to aid in the assessment and reconstruction process. Agencies that are not in OGS-administered facilities will need to coordinate with their building management to perform the assessment and reconstruction and coordinate directly with SEMO to facilitate the damage assessment process. Federal disaster funding is not guaranteed. In order for state agencies to qualify, state facilities must be located in one of the state/federally declared counties and the county must be eligible for public assistance (PA) funding.

The Empire Agency is located in an OGS-administered building. As such, OGS is responsible for assessing all damage to OGS-administered infrastructure and property, and is responsible for coordinating the reconstruction and recovery of those facilities. Empire Agency will endeavor to support OGS in the process.

3. State and Federal Reimbursement for Expenditures

From the onset of the emergency, the Empire Agency will endeavor to keep a detailed account of all disaster-related expenses. Because of the volume and detail of this type of information, the agency may identify a Recovery Task Force to track and document agency expenditures. This information will be compiled in coordination with the Finance /Administration Section Coordinator and the Documentation Unit within the Planning Section. Types of expenditures that will be recorded include:

- a. Labor used to respond to the emergency, including overtime;
- b. Use of owned equipment;
- c. Use of equipment rented or purchased through contracts;
- d. Loss or use of materials from existing stock;
- e. Damage incurred;
- f. Contracted services, such as temporary employees, used in the recovery.
- g. Cost of construction and/or reconstruction.

Appendix A: List of Resources for CEMP / COOP Planning Efforts

Planning Assistance

SEMO staff can provide technical planning assistance in developing and updating a variety of emergency management plans. Assistance can include identifying ways to incorporate mitigation measures into the planning process as well as into capital programming. SEMO staff can also provide technical planning assistance to state agencies in developing emergency management and continuity of operations plans.

Incident Command System (ICS) Training

Agency representatives can receive training in the Incident Command System (ICS) to effectively manage a response to an emergency. The ICS training offered by SEMO is part of the curriculum for training in the National Interagency Incident Management System (NIIMS) Incident Command System. The curriculum has several levels of training, starting with the very basic and progressing to the advanced level. The SEMO web site is a good source to access the Introduction to ICS (I-100), designed to prepare course participants for the intermediate and advanced levels of training. The I-100 Course is an Independent Self-Study course that can be done on line by logging on to <http://www.nysemo.state.ny.us/TRAINING/Training.Home>.

Training Using HAZNY (Hazards New York)

SEMO has recently revised the automated hazard analysis program, **HAZNY** (Hazards New York). **HAZNY** is a Microsoft-based planning tool used to identify and rank internal and external hazards that may potentially affect an agency's facility. From the hazard ranking, agencies can quickly and easily identify and prioritize their mitigation and planning efforts. SEMO has developed a **HAZNY** Train the Facilitator Course designed to teach public officials on how to conduct a hazard analysis for their own usage.

Professional Development Series (PDS) Courses

SEMO offers a variety of Professional Development Series (PDS) Courses designed to enhance the participant's knowledge of emergency management concepts, practices and methodologies. While all can be done by Independent Self-Study, SEMO routinely conducts the PDS Curriculum across the state. The courses offered are as follows:

1. Principles of Emergency Management
2. Emergency Planning
3. Exercise Design
4. Effective Communications
5. Decision Making and Problem Solving
6. Leadership and Influence
7. Developing Volunteer Resources

Additional course information, training announcements and course schedules can be found by visiting the SEMO web site at <http://www.nysemo.state.ny.us/TRAINING/semotraining.asp>. PDS information and on line study can also be found by visiting the Federal Emergency Management Agency (FEMA) web page at <http://www.fema.gov>.

Technical Assistance from SEMO:

Emergency Response and COOP Support

David DeMatteo, Emergency Response Planning Program Coordinator
NYSEMO Planning Section
(518) 292-2366
david.dematteo@semo.state.ny.us

Mitigation Planning

Radworth Anderson, Planning Section Supervisor
NYSEMO Planning Section
(518) 457-9987
rad.anderson@semo.state.ny.us

Training Assistance

SEMO Training Section
(518) 457-9986
semotraining@semo.state.ny.us

Federal Guidance:

FEMA's COOP Plan Template

This guide provides instructions for developing a Continuity of Operations (COOP) Plan according to *Department of Homeland Security (DHS) Headquarters Continuity of Operations (COOP) Guidance Document, dated April 2004*. Although general guidance and sample information is provided in this guide for reference, organizations are encouraged to tailor COOP Plan development to meet their own needs and requirements. Instructions accompany an electronic template that may be downloaded from the Federal Emergency Management Agency (FEMA) Office of National Security Coordination (ONSC) website at the following address. The COOP template can be found at the following address: <http://brgov.com/Dept/OEP/pdf/COOPPlan.pdf>.

NFPA 1600: Standard on Disaster/Emergency Management and Business Continuity

The NFPA Standards Council established the Disaster Management Committee in January 1995. The first document that the committee focused on was NFPA1600, *Recommended Practice for Disaster Management*. NFPA 1600 was presented to the NFPA membership at the 1995 Annual Meeting in Denver, CO. That effort produced the 1995 edition of NFPA 1600. For the 2000 edition, the committee incorporated a "total program approach" for disaster/emergency management and business continuity programs in its revision of the document from a recommended practice to a standard. They provided a standardized basis for disaster/emergency management planning and business continuity programs in private and public sectors by providing common program elements, techniques, and processes. The committee provided expanded provisions for enhanced capabilities for disaster/emergency management and business continuity programs so that the impacts of a disaster would be mitigated, while protecting life and property. The chapters were expanded to include additional material relating to disaster/emergency management and business continuity programs. In 2004, the committee added a table in Annex A that creates a crosswalk among FEMA's CAR, NFPA 1600, and BCI & DRII Professional Practices. The document continues to be developed in cooperation and coordination with representatives from FEMA, NEMA, and IAEM. This coordinated effort was reflected in the expansion of the title of the standard for the 2000 edition to include both disaster and emergency management, as well as information on business continuity programs. The document may be found online at: <http://www.nfpa.org/assets/files/PDF/NFPA1600.pdf>

Appendix B: List of Resources for Mitigation

Hazard Mitigation, defined as actions taken to reduce or eliminate the impacts of disasters. To the maximum extent possible, these actions should involve limited to no human intervention for operation.

The Federal Emergency Management Agency, the US Army Corps of Engineers, the Natural Resource Conservation Service of the US Department of Agriculture, etc., as well as the New York State Emergency Management Office and many DPC Agencies encourage the implementation of hazard mitigation measures to reduce losses from repetitive damages or where imminent poses severe risk to life and property.

While most entities tend to look to the availability of outside funding sources to support hazard mitigations, it is the contention of FEMA and SEMO that the implementation of such measures need not be thus limited. Organizations should always consider the need to implement hazard mitigation measures in their day-to-day capital development activities. When constructing facilities in know hazard areas, the standard construction practices, materials and methods should be reviewed and modified to address the hazards of the area. Adhering to local construction codes and exceeding code requirements are appropriate ways to mitigate hazard impacts.

Indicated below are six hazard mitigation planning and project implementation categories that are recommended for consideration. Identify mitigation actions under the following categories:

- Prevention
- Property Protection
- Natural Resources Protection
- Structural Measures
- Emergency Services
- Public Information

Mitigation Strategies: Prevention

- Planning & zoning
- Building code regulations
- Land development regulations
- Open space preservation
- Floodplain regulations
- Storm water management
- Drainage system maintenance

Mitigation Strategies: Property Protection

- Acquisition
- Relocation
- Retrofitting—elevation
- Flood proofing—wet & dry
- Insurance

Mitigation Strategies: Natural Resource Protection

- Wetlands protection
- Erosion and sediment control
- Best management practices
- Coastal barrier protection

Mitigation Strategies: Structural Projects

- Involve the construction of man-made structures to control hazard
 - Reservoirs
 - Levees/floodwalls
 - Seawalls/bulkheads
 - Channel modifications
 - Storm sewers

Mitigation Strategies: Emergency Services

- **Warning Program** - Includes a system for recognition of threat as well as warning capability.
- **Response** - Plan for smooth and effective response to disaster events
- **Critical facilities protection** - police, fire, hospitals, nursing homes, nuclear power plants

Mitigation Strategies: Public Information

- Outreach programs, e.g., to educate property owners and others about actions that can be taken to avoid or reduce risks to hazards
- Environmental Education Programs
- Map information

Program	Admin Through	Eligible Projects	When Administered: Before, During and After Disaster	POC
Hazard Mitigation Grant Program (HMGP)	SOEM	Acquisition, Relocation and Elevation of Flood-prone structures Minor structural projects	Post-disaster	At SOEM: Mitigation Section
Pre Disaster Mitigation Program (PDM)	SOEM		Annually, not disaster dependent	At FEMA Region II: At SOEM: Mitigation Section
Flood Mitigation Assistance Program (FMA)	SOEM		Annually, not disaster dependent	At FEMA Region II: At SOEM: Mitigation Section