

# EMPIRE AGENCY

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



*A Companion Document to the  
Previously Released 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/continuity of operations plan and a possible format to use. This document is based upon common planning elements 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, emphasis should also be placed on the level of an agency's emergency preparedness program. The reason for this consideration 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. This document was designed to encourage state agencies to utilize a planning process to address their emergency planning needs. In using this document, agencies need to consider agency-specific facilities, demographics and responsibilities that are unique to the agency. In addition, COOP efforts should be considered as something that needs to be managed and coordinated appropriately. This document identifies the position of an **Emergency Preparedness/Recovery Manager (EPRM)** to coordinate all CEMP/COOP activities for the Empire Agency. Consider a position such as this within your agency.

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.

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(AGENCY)  
**COMPREHENSIVE EMERGENCY MANAGEMENT/CONTINUITY OF  
OPERATIONS PLAN (CEMP/COOP)**

**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. This plan constitutes an integral part of a statewide emergency management and continuity of government program and contributes to its effectiveness.

The development of this plan included an identification of potential hazards that could affect agency operations and an assessment of the capabilities and mechanism that the agency will use to recover from those 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** 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.

This process is called **Comprehensive Emergency Management** to emphasize the interrelationship of activities, functions, and expertise necessary to deal with emergencies. This 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 \_\_\_\_\_, who will serve as the Emergency Preparedness/Recovery Manager to coordinate all emergency management/COOP 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).     (Agency)     will 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.

New York State is obligated to provide assistance to county and local governments in response to a disaster after local resources have been fully committed and the county is unable to cope with the disaster. Therefore, \_\_\_\_\_ (agency) \_\_\_\_\_ must also ensure that it is prepared to respond to an emergency as part of the collective state disaster response.

### **Conclusion**

This plan will serve as the over-arching policy, authority and general guidelines for the agency 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.

\_\_\_\_\_(AGENCY)\_\_\_\_\_

**COMPREHENSIVE EMERGENCY MANAGEMENT/CONTINUITY OF  
OPERATIONS PLAN (CEMP/COOP)**

**SECTION I**

**GENERAL CONSIDERATIONS AND PLANNING GUIDELINES**

**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 and key support vendors. 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 and recovery from an internal or external emergency that may impact life, health and/or the ability to conduct agency operations. This plan establishes a concept of operations, strategies and tactics to guide agency preparedness, response and recovery 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 \_\_\_\_\_(agency)\_\_\_\_\_ Comprehensive Emergency Management/Continuity of Operations 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.
- **Recovery** efforts include short and long-term strategies to restore agency business operations following an emergency, including identifying ways to prevent/mitigate a hazards impact on the agency.

**D. Planning Assumptions** *(These should be applicable; amend to fit your needs)*

Several assumptions were identified in developing the \_\_\_\_\_ CEMP/COOP, 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. The occurrence of such hazards may have a severe impact on the agency, the facility its system operations and the staff that may be called upon to support agency operations.
2. Some emergencies may warrant the employees to take some sort of protective action, such as sheltering in place or evacuating.
3. In some cases, portions of or the entire agency facility may be inhabitable, requiring the use of an alternate facility.
4. Vital agency functions will need to be carried out regardless of the extent of damage or impact of the emergency.
5. 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.
6. The agency has taken steps to identify an alternate facility.
7. In a widespread community disaster, employees may need to take the appropriate steps to ensure the safety and security of their families prior to returning to work. This could have a negative impact on staff assignments.
8. There may be disruptions in utility services including electric, gas, telecommunications, water and cable.
9. Vendors, county and local governments, and other state agencies that the agency normally deals with may also be responding to the emergency, and may be experiencing some disruption in agency operations as well.

## **E. Concept of Operations** *(The sequence of events; amend to fit your agency)*

### 1. The Occurrence of an Internal or External Hazard:

- a. An internal or external emergency occurs or poses a threat to the occupants and/or the facility. The hazard is recognized by \_\_\_\_\_ and its presence is either immediately remedied per agency protocol or is relayed to \_\_\_\_\_ for consideration and action.
- b. The decision is made to respond to the emergency. This decision will be made by the \_\_\_\_\_ (emergency preparedness/recovery manager).
- c. The Emergency Preparedness/Recovery Manager alerts and notifies the employees, issues protective action(s), and either continues operations at the facility or utilizes an alternate facility. Protective actions 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).
- d. If the order to evacuate is made, agency employees will assemble at the assembly area located at \_\_\_\_\_. Individuals designated to bring Go-Kits will do so in the event that the facility becomes uninhabitable.
- e. The Emergency Preparedness/Recovery Manager serves as a liaison to the local and state agencies. The Emergency Preparedness/Recovery Manager briefs local responders on facility issues, and identifies agency actions, accountability and disposition of the emergency.
- f. If warranted, and with concurrence of the agency executives, the Emergency Preparedness/Recovery Manager will order all agency employees to go to an alternate facility located at \_\_\_\_\_.
- g. Agency operations will commence at the alternate facility as soon as practical. The Emergency Preparedness/Recovery Manager 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. Initial Utilization of the Alternate Facility

- a. The Emergency Preparedness/Recovery Manager 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, he/she activates the alternate facility, assists departmental leaders in reestablishing their respective functions and prepares to brief the executives on the status of the recovery.

- b. Agency executives will conduct a situational analysis of the event to identify priorities and set short-term and long-term objectives. Information provided by the Emergency Preparedness/Recovery Manager will assist in identifying those 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 maintaining the continuity of their section within the agency.
- d. In response to an emergency, \_\_\_\_\_ (agency) \_\_\_\_\_ will utilize its own facilities, equipment, supplies and resources first. 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. \_\_\_\_\_ 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 by \_\_\_\_\_.
- f. Additional accommodations will be given to those that can work remotely via computer.
- g. The Emergency Preparedness/Recovery Manager will work in close coordination with agency executive staff in acquiring Critical Incident Stress Management for agency employees.

**F. Legal Authority** (*add your own directives*)

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*
- 4. Agency Directive \_\_\_\_\_

**G. Plan Maintenance and Updating** (*identify who will update the plan and when*)

- 1. The \_\_\_\_\_ is responsible for identifying the policy in maintaining and updating this Plan. The Emergency Preparedness/Recovery Manager will

lead the effort with the various sections/departments, the Tenant Safety Organization and utilize input from agency executives.

2. This CEMP/COOP shall be reviewed annually and updated on \_\_\_\_\_ of each year. It will 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 \_\_\_\_\_ (identify timeline) \_\_\_\_\_ review of their emergency response role and procedures, and provide any changes to the Emergency Preparedness/Recovery Manager.

\_\_\_\_\_**(AGENCY)**\_\_\_\_\_

**COMPREHENSIVE EMERGENCY MANAGEMENT/CONTINUITY OF  
OPERATIONS PLAN (CEMP/COOP)**

**SECTION II**

**RISK REDUCTION (PREPAREDNESS)**

**A. Identification of Emergency Preparedness and Response Teams** *(Use all that apply)*

1. Tenant Safety Organization (TSO)

The \_\_\_\_\_(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 \_\_\_\_\_(agency)\_\_\_\_\_ Emergency Preparedness /Recovery Manager(EPRM)

The \_\_\_\_\_(agency)\_\_\_\_\_ has also identified an Emergency Preparedness/Recovery Manager. The EPRM has the primary responsibility to act as a liaison between Agency Executive Staff and the agency to coordinate emergency preparedness/disaster recovery efforts. The EPRM ensures that the executive policies and initiatives regarding the agency's ability to maintain its operations are followed. The EPRM is the lead in facility-related issues and activities and works in coordination with the TSO. The EPRM also serves as a member of the \_\_\_\_\_(agency)\_\_\_\_\_ Emergency Planning Team.

3. The \_\_\_\_\_(agency)\_\_\_\_\_Emergency Planning Team

The \_\_\_\_\_(agency)\_\_\_\_\_ has developed 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 EPRM, IT, and designated department or section leaders. As necessary, the planning team will work in coordination with the appropriate state agencies (i.e., OFT, DSP, OFPC, OGS, NYSOEM) and will coordinate response activities with the local emergency services, as appropriate.

**B. Lines of Succession** *(Identify for your agency)*

1. The \_\_\_\_\_(agency)\_\_\_\_\_ has identified a line of succession for the each key management 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. Appendix 1 contains the lines of succession. Generally, 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  (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.

**C. Identification and Analysis of Potential Hazards** *(Use all that apply)*

1. The  (agency)  Emergency Planning Team identified the hazards which may impact the facility, the employees and have a negative impact on agency operations. The rating and ranking results of the hazard analysis are found in Attachment 1 to this section of the CEMP.
2. The 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.
3. The Emergency Planning Team has taken several key steps to prevent a hazards occurrence or mitigate the effects of a hazard. These efforts include:

**Non-Structural Mitigation Measures** *(identify all that apply; delete those that do not)*

- 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, EPRM and others) 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.

**Structural Mitigation Measures** *(identify all that apply; delete those that do not)*

- 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/Awareness of Emergency Preparedness Plans, Policies and Protocols** *(identify all that apply; delete those that do not)*

1. The \_\_\_\_\_ (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 EPRM.
2. Training will be provided to employees to support agency emergency preparedness and continuity of operations. The training will be coordinated with the appropriate section/department head to ensure a minimal interruption of normal work duties.
3. The training will be conducted at least annually and will include: *(identify all that apply; delete those that do not)*
  - Information on the characteristics of hazards and their consequences on the agency as a whole.
  - An overview of the planning efforts that have been done by the agency and familiarizing staff with the kind of protective measures the agency has developed to respond to any emergency, including identifying how the employees will be directed/warned in an emergency.
  - Include Incident Command System (ICS) training, focusing on individual roles.
  - The policies and mechanisms that will be employed in maintaining the operations of the agency, including utilizing an alternate facility.
  - Be provided in both crisis situations (just-in-time training) and refresher training settings.
  - Include periodic exercises and drills to evaluate capabilities and the level of agency preparedness.



- c. When relocating, supervisory staff will bring their Go-Kits to the alternate facility.
2. Agency (Business) Impact Analysis (*assess agency impacts*)
    - a. The \_\_\_\_\_ (agency) \_\_\_\_\_ has conducted an Impact Analysis to determine, to the extent possible, the potential impacts on the agency and the mission critical functions that are required to allow the agency to continue its function as a governmental entity.
    - 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 and can be found in Appendix 1 of this Plan.
3. Mission Critical Systems (*identify critical systems*)
    - a. The \_\_\_\_\_ (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. The complete listing and identification of those systems can be found in Appendix 1 of this Plan.
4. Mission Critical Files, Records and Databases (*identify critical data*)
    - a. 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 regional offices.
      - Staged at an alternate facility, such as the agency warehouse.
      - Web-based storage via portal or a contracted service provider.
    - 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. The \_\_\_\_\_ Executive has directed all sections/departments of the agency to begin \_\_\_\_\_ (weekly) \_\_\_\_\_ back-up of all electronic files and databases. The data is to be copied onto CD by each project manager, which in turn is provided to each section/department leader.

5. Mission Critical (Emergency) Go-Kits (*Utilize if it applies; delete if it does not*)
  - a. The \_\_\_\_\_ Agency Executive has determined that the agency will utilize Emergency Go-Kits to support the agency's response to an emergency. The Go-Kits will contain each section's mission critical files, active records and necessary correspondence. Whenever possible, data will be stored on CD on a bi-weekly basis.
  - b. 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: \_\_\_\_\_ Agency Hazard Rankings

On July 25, 2005, the \_\_\_\_\_ identified the internal and external hazards that the agency may have to respond to and recover from. The \_\_\_\_\_ Agency assembled a group of 17 representatives to identify these hazards and rank them accordingly.

### The Results

The Group analyzed hazards potentially affecting the facility and agency operations. The hazards are as follows:

Fire
Flood
Armed Intruder
Terrorism
Hazardous Materials In Transit
Utility/IT Failure
Epidemic
Hazardous Materials Fixed Site
Civil Unrest
Winter Storm (Severe)
Severe Storm
Ice Storm
Structural Collapse
Transportation Accident
Tornado

(AGENCY)  
**COMPREHENSIVE EMERGENCY MANAGEMENT/CONTINUITY OF  
OPERATIONS PLAN (CEMP/COOP)**

**SECTION III**

**RESPONSE**

**A. Assignment of Responsibilities** *(Assign roles to key individuals and section leaders)*

1. The Role of the Agency Executive

The \_\_\_\_\_ (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;
- may direct the implementation of this plan and any or all of its components, mechanisms and functions;

2. The Role of the Agency Emergency Preparedness/Recovery Manager (EPRM) *(consider assigning this role to coordinate the CEMP/COOP efforts)*

The EPRM has been delegated the authority to be the lead on the emergency preparedness program of the agency. The EPRM serves as the administrative arm of the agency executive in coordinating emergency preparedness and COOP-related initiatives. In response to an emergency, the EPRM serves in close coordination with executive staff to:

- activate the agency's response organization and initiates agency response/COOP activities, closely coordinating with the TSO.
- maintain and manages the agency's Departmental Operations Center (DOC);
- coordinate with section/department heads to facilitate agency continuity and emergency activities and conduct a roll call.
- activate the alternate facility, assists departmental leaders in reestablishing their

respective functions and prepares to brief the executives on the status of the response.

- facilitates coordination between the agency executive and:
  - a) department/section leaders and other program management staff
  - b) the local emergency response agencies
  - c) other entities/agencies occupying the facility
  - d) local service providers (i.e., telecommunications, water, sewer, etc.)

3. The Role of the Tenant Safety Organization (TSO) (if established)

The \_\_\_\_\_ (agency) \_\_\_\_\_ has developed a TSO to support emergency preparedness and response activities. The TSO is comprised of the AERC 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 EPRM 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.

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.

**B. Alert and Notification of Staff** (*identify your alert/notification methodology; include off-hour notifications as well*)

1. A potential or actual hazard (internal or external) is recognized. The agency has utilized a variety of concepts to identify a hazards occurrence in the incipient phase. These include:
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
  - d. \_\_\_\_\_
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 (i.e., phone, radio):

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_

**C. Agency Emergency Response Levels** (*utilize if it applies, delete if it does not*)

1. Upon recognition of a potential or actual hazard, the decision will be made to activate the CEMP by \_\_\_\_\_ (i.e., EPRM). The notification methodology, identified above, sets into motion the activation of agency emergency response organization.
  
2. Each emergency is to be classified into one of four Agency Response Levels according to the scope and magnitude of the incident. The response organization will be activated according to the response level classification.
  - 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.
    - No additional staff is required.
  
  - 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.
    - Activation of the EPRM and select members of the TSO.
  
  - 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.
    - Level one staff is activated and augmented by the remainder of the TSO.  
**Portions of the COOP may be activated.**
  
  - 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.
    - Level two staff is activated and it is at this point that **the agency will activate an alternate facility and implement the continuity of operations plan.**

**D. The \_\_\_\_\_ (agency) \_\_\_\_\_ Emergency Response Organization** (*identify the organization*)

\_\_\_\_\_ (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 will be initiated by the EPRM in response to an incident.

In an emergency, the EPRM will serve as the \_\_\_\_\_ (agency) \_\_\_\_\_ Incident Commander. In this capacity, the EPRM assumes the authority to respond to the emergency using the agency's resources. The EPRM will need to coordinate the issues at hand and begin to activate the alternate site.

The \_\_\_\_\_ (agency) \_\_\_\_\_ executive will have the ultimate authority of the agency, serving as the Agency Administrator. 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 and 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 EPRM.

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 EPRM and support the initiation of the continuity of operations plan. Once the alternate site is initiated, the EPRM will continue to monitor the status of the primary site for site-specific issues or concerns, and begin to conduct agency business from the alternate site. From the alternate facility, the agency will utilize its response structure to transition from emergency operations to the anticipated normal day to day operations. The emergency response structure that was activated for the emergency will be demobilized once that transition has been achieved.

**1. The \_\_\_\_\_ (agency) \_\_\_\_\_ Incident Command Structure** *(develop a structure)*

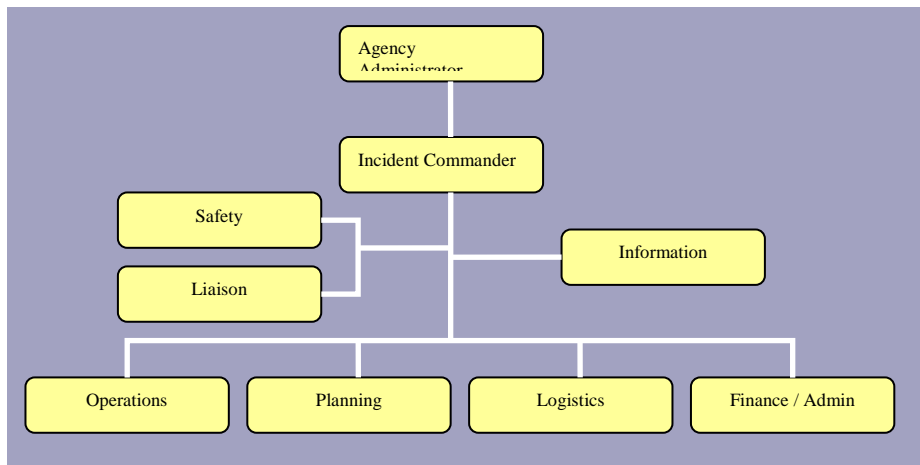
The \_\_\_\_\_ has identified an Incident Command System (ICS) response structure that will be utilized in response to an emergency. The ICS model is built around five management functions. The functional positions identified in the following chart have been assigned to executive staff and section/departmental leaders. Agency employees have been advised of their assignments and have incorporated their respective lines of succession for each staff position. The principal ICS functions are as follows:

- a. Agency Administrator: The \_\_\_\_\_ Director. Responsible for the overall mission of the agency in support of state government.
- b. Incident Commander: The Executive Deputy Director. This individual works in close coordination with the Agency Administrator and the EPRM to ensure executive objectives and priorities are identified and addressed.
- c. Operations: Emergency Preparedness/Recovery Manager. The EPRM is the lead in coordinating agency-related response activities in times of emergencies and 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. This role is assigned to \_\_\_\_\_.

- e. Information: Information will be staffed by \_\_\_\_\_ (Public Affairs) and will be the lead on agency-specific information regarding the response and recovery.
- f. Safety: Will be responsible for coordinating with DOL/PESH to help ensure staff safety at the primary and alternate sites. This role is assigned to \_\_\_\_\_.
- g. 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. This role is assigned to \_\_\_\_\_.
- h. 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. This role is assigned to \_\_\_\_\_:
- i. Finance/Administration: Responsible for keeping track of incident related costs, personnel and equipment records, and administering procurement contracts associated with the response. This role is assigned to \_\_\_\_\_.

The general organizational structure is as follows:



**E. Warning and Emergency Information** (*identify the means and by whom*)

- 1. Agency employees will be warned of a potential or actual hazard and be directed to implement the COOP by the following methods:
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_

2. Warnings and information will be initiated by \_\_\_\_\_ (whom) \_\_\_\_\_, as appropriate.

**F. Accountability and Next of Kin Notifications** (*utilize or use your own protocol*)

1. The agency requires employees to maintain a master calendar on one of the network drives. This calendar is updated weekly by \_\_\_\_\_.  
\_\_\_\_\_ will take roll call of their respective staff upon arrival to the congregate area or alternate site. The section supervisor will inform the EPRM of the status of the roll call.
2. If it is determined that an employee is seriously injured or deceased, the EPRM will inform agency executives 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, as appropriate.

**G. Supporting Documents** (*identify or create*)

- Employee Roster, including next of kin notifications.
- Employee notification and contacts.
- Listing of key vendors and support personnel.
- MOU with \_\_\_\_\_ (whom) \_\_\_\_\_ for utilizing the alternate facility.
- Executive policy on the use of leave.
- Policy and roster of those who can telecommute.

(AGENCY)  
**COMPREHENSIVE EMERGENCY MANAGEMENT/CONTINUITY  
OF OPERATIONS PLAN (CEMP/COOP)**

**SECTION IV**

**RECOVERY**

**A. The Recovery Process** (*Prioritize programs based on the Impact Analysis*)

Disaster recovery and business continuity 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 (agency) has identified several key mechanisms to successfully implement the COOP and facilitate the recovery process.

During the planning process, the Planning Team put forth the compilation of the Impact Analysis. Based upon the Impact Analysis, agency executives have identified the prioritization and acceptable time frames for the restoration of vital services. These can be found in Appendix 1 to this Plan.

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 agencies have determined that it is safe to re-enter.

2. Employees will determine, to the extent possible, the impact the emergency had on their specific programmatic areas. Impacted operations will be relayed to the EPRM via the section supervisor.

**C. Short-term Objectives to Return to Normal Operations** (*High Priority Items*)

1. The \_\_\_\_\_ executive staff has identified the following policies in implementing the agency's COOP:
  - a. \_\_\_\_\_ will endeavor to focus on implementing mission-critical activities and tasks as identified in the Impact Analysis.
  - b. \_\_\_\_\_ will utilize the "go-kits" to reinstate 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. A limited number of employees have been will be afforded to the opportunity the work from a remotely. These are: \_\_\_\_\_ (name or section)

Department / Section heads will relay the status of their respective section to the EPRM, 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 lines of succession will be followed, as appropriate.
  - b. The \_\_\_\_\_ (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 accommodate each employee and 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 \_\_\_\_\_(agency)\_\_\_\_\_ will make every effort to arrange for mental health services for all of the agency employees that are affected by the emergency.

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

The Agency will consider mitigation measures into the recovery and redevelopment plan for the agency. These 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, hot sites and mission-critical information.
- 4. Upgrade the facility warning / communication system.

**E. Participating in or Obtaining State/Federal Assistance *(In disasters situations)***

- 1. Recovery and Reconstruction

If the emergency is widespread and is considered a “disaster”, there may be provisions to acquire federal assistance via the federal Robert T. Stafford Disaster Assistance and Relief Act. This act identifies recovery mechanisms in two phases: Short-term recovery, which is aimed at returning essential vital services, and long-term recovery, which may take years to conclude. The EPRM should coordinate with NYSOEM to determine if the \_\_\_\_\_(agency)\_\_\_\_\_ may be eligible for federal assistance.

- 2. Damage Assessment *(who will assess and repair your facility)*

The \_\_\_\_\_(agency)\_\_\_\_\_ is located in a building owned and operated by \_\_\_\_\_(who)\_\_\_\_\_. As such, \_\_\_\_\_(who)\_\_\_\_\_ is responsible for assessing all damage to the agency’s property, and is responsible for coordinating the reconstruction of the facility.

- 3. State and Federal Reimbursement for Expenditures *(track costs)*

From the onset of the emergency, the agency will endeavor to keep a detailed account of all disaster-related expenses. This effort will be coordinated by the

EPRM. 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 equipment rented or purchased through contracts;
- c. Loss or use of materials from existing stock;
- d. Damage incurred;
- e. Contracted services, such as temporary employees, used in the recovery.
- f. Cost of construction and/or reconstruction.

# **Appendix 1**

(Agency)

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## **COOP Functions and Forms**

## Appendix 1: Mission Critical Programs, Functions and Systems

### Instructions for COOP Survey Forms

#### **I. General**

All applicable recipients of the survey forms should complete the top portion of the form.

#### **II. Table 1: Mission-Critical Functions**

A. Distribution: To all departmental leaders via division/bureau chiefs.

B. Key Points:

Box 1: Attempt to organize on a priority basis.

Box 2: Attempt to identify acceptable down-time.

Box 3: Identify the essential program(s) of that department or section.

Box 4: Identify the essential function(s) needed to support the program.

Box 5: Identify the contributing factors or supportive elements to maintain that program.

Box 6: Identify the internal activities (work-flow) in doing that specific program.

Box 7: Identify the external activities (work-flow) in doing that specific program.

Box 8: Identify the items or mechanism that the program is dependent upon.

Box 9: Identify the mechanisms that the program's dependency is dependent upon, as appropriate.

#### **III. Table 2: Mission-Critical Files, Records and Databases**

A. Distribution: To all departmental leaders via division/bureau chiefs.

B. Key Points:

Box 1: Identify the files, records or databases that are used by the department.

Box 2: Identify the form of the data, either electronic or hardcopy.

Box 3: Identify if the file is backed up on CD, the network, hardcopy file or on an individual desktop.

Box 4: Identify if the file is available at an alternate facility, if appropriate.

Box 5: Identify if the file can be quickly and easily taken upon evacuation.

Box 6: Identify any other location where the information may be located.

#### **IV. Table 3: Mission-Critical IT Infrastructure and Telecommunications**

A. Distribution: To IT, communications and Public Safety departmental leaders.

B. Key Points:

Box 1: Identify the name of the system being utilized.

## Appendix 1: Mission Critical Programs, Functions and Systems

Box 2: Identify an acceptable down-time.

Box 3: Identify the current location of the system hardware and infrastructure.

Box 4: Identify other locations of the system hardware and infrastructure.

Box 5: Identify any limitations of the back-up systems, if any.

### V. **Table 4: Lines of Succession**

A. Distribution: To all departmental leaders via division/bureau chiefs.

B. Key Points:

Box 1: Identify the bureau of the agency.

Box 2: Identify the department or section of the bureau.

Box 3: Identify if the current primary point of contact or department leader.

Box 4 through Box 6: Identify alternates to the department leader. Consider job skills, pay grades and chain of command as a determinant for the alternates.

**Appendix 1: Mission Critical Programs, Functions and Systems**

COOP Survey of Mission-Critical Functions for Division / Bureau _____.								
Department / Section _____.								
Mission Priority <sup>1</sup>	Acceptable Down-time <sup>2</sup> (in hours)	Essential Programs <sup>3</sup>	Essential Functions <sup>4</sup>	Function Contributors <sup>5</sup> (Program Support elements)	Internal Program Activities <sup>6</sup>	External Program Activities <sup>7</sup>	Dependencies <sup>8</sup>	Interdependencies <sup>9</sup>
1	1.5	Accounts Payable	Authorize payments	RFPs, state contracts, emergency purchases or procurements.	Approve work product, disbursement, project closeout.	Coordinate with facility or entity, contract payment.	Network files, hardcopy files, phone, fax, email, funding sources, vendors.	Vendor-support, transportation, shipping and receiving.
2								
3								
4								
5								
6								
9								
10								

Table 1: COOP Survey of Mission-Critical Functions

**Appendix 1: Mission Critical Programs, Functions and Systems**

COOP Survey of Mission-Critical Files, Records and Databases for Division / Bureau <u>Human Resources</u> .					
Department / Section <u>Employee Records</u> .					
Vital File, Record, or Database <sup>1</sup>	Form of Record (i.e., hardcopy, electronic) <sup>2</sup>	Is the File, Record or Database backed-up? <sup>3</sup>	Pre-positioned at an Alternate Facility (if identified)? <sup>4</sup>	Can the information be easily carried to an Alternate Facility? <sup>5</sup>	Backed up at a third Location? Identify location, if appropriate. <sup>6</sup>
Time and Attendance	Hardcopy	No, on file	No	Yes	No
Benefits Information	Hardcopy	No	No	No	Insurance Carrier
Comp/Claims	Both	Electronic only- on server.	Hardcopy-No	No	On CD, in custody of personnel administrator.
Classification	Both	No-electronic only on one desktop.	No	Yes	No
Next of Kin Information	Both	Electronic only- on server	No	Yes	No

Table 2: COOP Survey of Mission-Critical Files, Records and Databases

## Appendix 1: Mission Critical Programs, Functions and Systems

COOP Survey of Mission-Critical IT Infrastructure and Telecommunications for Division / Bureau _____.				
Department / Section _____.				
System Name <sup>1</sup>	Acceptable Down-Time <sup>2</sup> (in hours)	Current Location <sup>3</sup>	Other Locations <sup>4</sup>	Limitations of Back-up Systems (if any). <sup>5</sup>
Network Server	0	Headquarters	Hawthorne	User profiles need to be carried over.
				LAN access is limited; not enough data ports at the alternate site
				Limited remote access to the network
Phone System	1.5	Headquarters	None	Limited number of drops.
UHF / VHF Radio	0	Headquarters	None	Limited based on locale, repeater system.

Table 3: *COOP Survey of Mission-Critical IT Infrastructure and Telecommunications*

**Appendix 1: Mission Critical Programs, Functions and Systems**

COOP Survey of Lines of Succession for Division / Bureau _____.					
Department / Section _____.					
Bureau or Division <sup>1</sup>	Department or Section <sup>2</sup>	Primary Point of Contact <sup>3</sup>	Alternate Number 1 <sup>4</sup>	Alternate Number 2 <sup>5</sup>	Alternate Number 3 <sup>6</sup>
Preparedness	Planning Section	Dave D.	Jay S.	Tom L.	John D.
	Grants Management	Kelly D.	Mike A.	Louis T.	Bob O.
	Mitigation	Mike T.	Jamie F.	Jill D.	Kevin C.

Table 4: COOP Survey of Lines of Succession