|  |
| --- |
|  |
| State of Alaska  Continuity of Operations Planning Guide |
| http://www.commerce.state.ak.us/img/footerBG_bottom.png  Continuity of Operations Plan Example |
|  |
|  |
|  |

|  |
| --- |
| This template provides a structure for formulating a Continuity of Operations (COOP) Plan according to Department of Homeland Security (DHS) Headquarters Continuity of Operations (COOP) Guidance Document, dated April 2004. This template is designed to accompany the Continuity of Operations Template Instructions, which consists of general guidance and sample language for reference. Organizations are encouraged to tailor COOP Plan development to meet their own needs and requirements. The instructions for the template can be downloaded at the State of Alaska Division of Homeland Security and Emergency Management website at the following address: http://ready.alaska.gov/plans/index.htm |

# Overview

This template provides a structure for formulating a Continuity of Operations (COOP) Plan according to Department of Homeland Security (DHS) Headquarters Continuity of Operations (COOP) Guidance Document, dated April 2004. This template is designed to accompany the Continuity of Operations Template Instructions, which consists of general guidance and sample language for reference. Organizations are encouraged to tailor COOP Plan development to meet their own needs and requirements. The instructions for the template can be downloaded at the State of Alaska Division of Homeland Security and Emergency Management website at the following address: <http://ready.alaska.gov/plans/index.htm>

Questions concerning this template can be directed to:

Department of Military and Veterans Affairs

Division of Homeland Security and Emergency Management

P.O. Box 5750, Fort Richardson, AK 99505-5750

Phone: 907-428-7000 Fax: 907-428-7009 Toll Free: 1-800-478-2337

**foreword**

The State of Alaska Insert Department/ Division Name Here have a responsibility to ensure the safety of their employees. They also have a legal obligation to operate in a prudent and efficient manner, even during an impending threat or following a disaster.

This continuity of operations (COOP) plan provides guidance for the Insert Department/ Division Name Here to perform its essential functions as part of a COOP capability.

Recommended changes to this document may be addressed, at any time, to the Insert Point of Contact, Address Here.

Insert Signatory Official

**State of Alaska**

**(Department/ Division)**

**Continuity of Operations Plan**

This plan will be distributed to primary & secondary agencies.

RECORD OF DISTRIBUTION

|  |  |  |  |
| --- | --- | --- | --- |
| Distribution Number: | Date: | Agency Signatory Official: | Agency: |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**State of Alaska**

**(Department/ Division)**

**Continuity of Operations Plan**

This plan will be reviewed annually and revised as necessary.

RECORD OF CHANGES

|  |  |  |  |
| --- | --- | --- | --- |
| Change Number | Date | Subject | Enter By: |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Table of Contents

[Overview 1](#_Toc329586674)

[Executive Summary 8](#_Toc329586675)

[Introduction 8](#_Toc329586676)

[Purpose 8](#_Toc329586677)

[Applicability and Scope 8](#_Toc329586678)

[Essential functions 8](#_Toc329586679)

[Authorities and References 9](#_Toc329586680)

[Concept of Operations 9](#_Toc329586681)

[Phase I: Activation and Relocation 10](#_Toc329586682)

[Decision Process 10](#_Toc329586683)

[Alert, Notification, and Implementation Process 10](#_Toc329586684)

[Leadership 11](#_Toc329586685)

[Execution 12](#_Toc329586686)

[Phase II: Alternate Facility Operations 13](#_Toc329586687)

[Mission Critical Systems 13](#_Toc329586688)

[Vital Files, Records, and Databases 13](#_Toc329586689)

[Phase III: Reconstitution 14](#_Toc329586690)

[COOP Planning Responsibilities 14](#_Toc329586691)

[Commissioner, Director, Deputy Director 14](#_Toc329586692)

[Agency Program Managers 15](#_Toc329586693)

[ERS Support Official 15](#_Toc329586694)

[Program Manager, Agency Staff 15](#_Toc329586695)

[Agency Staff 16](#_Toc329586696)

[Logistics 16](#_Toc329586697)

[Alternate Location 16](#_Toc329586698)

[Interoperable Communications 16](#_Toc329586699)

[Test, Training, and Exercises 17](#_Toc329586700)

[Multi-Year Strategy and program Management Plan 17](#_Toc329586701)

[Multiyear strategy 17](#_Toc329586702)

[Program Management 17](#_Toc329586703)

[COOP Plan Maintenance 17](#_Toc329586704)

[Annex A: Authorities and References 19](#_Toc329586705)

[Annex B: Alternate Location/Facility Information 22](#_Toc329586706)

[Annex C: Plan Activation and Notification 23](#_Toc329586707)

[Annex E: Definitions and Acronyms 24](#_Toc329586708)

(THIS PAGE IS INTENTIONALLY LEFT BLANK)

# Executive Summary

Text Here

# Introduction

Insert Department/ Division Description Here

# Purpose

This continuity of operations (COOP) plan for the Insert Department/ Division Description Here, presents a management framework, establishes operational procedures to sustain essential functions, and guides the restoration of full functions if normal operations in one or more of the Department/ Divisions locations are not feasible.

This plan was prepared in accordance with Department of Homeland Security (DHS) Headquarters Continuity of Operations (COOP) Guidance Document, dated April 2004, which provides a structure for formulating a COOP plan;Presidential Decision Directive–67, “Ensuring Constitutional Government and Continuity of Government Operations,” which requires all Federal departments and agencies to have a viable COOP capability; and to prepare for emergencies and disasters.

This document focuses on the basic COOP elements: essential functions, critical systems, alternative facilities, orders of succession, delegations of authority, and vital records. Development of procedures that address the basic COOP elements and work in concert with business continuity and disaster recovery plans allows for uninterrupted delivery of the Community’s essential functions.

This document applies to the full spectrum of threats and emergencies that may affect the State of Alaska. Specifically, this COOP plan is based on an event scenario that disrupts the State of Alaska Insert Department/ Division Description Here essential functions. In this scenario, the Insert Department/ Division Description Here location is closed for normal business activities. The most likely causes of such disruption are severe winter storms (i.e., ice or snow), widespread utility failure, multiple explosions, civil disturbance, or credible threats of actions that would preclude access to or use of Community facilities. Under this scenario, State offices relocate staff and resources to a remote facility identified as the Emergency Relocation Site (ERS).

# Applicability and Scope

Text Here

# Essential functions

This COOP plan is based on the Insert Department/ Division Description Here essential functions. It serves as an operational guide to facilitate the relocation of State staff to an ERS and the backup of critical systems and vital records so that essential functions may continue. The level and manner of support needed to continue essential functions is dependent on the nature of an event. This plan describes the processes and procedures needed to support continuation of essential functions identified in the following table.

| **Priority** | **Essential Functions** |
| --- | --- |
| 1 |  |
| 2 |  |
| 3 |  |
| 4 |  |
| 5 |  |
| 6 |  |

# Authorities and References

Authority, support, and justification for continuity of operations (COOP) planning are provided through the documents listed in Annex A.

# Concept of Operations

A COOP plan must be maintained at a high level of preparedness and must be ready to be implemented without significant prior warning. It should be implemented fully no later than 12 hours after activation and provide guidance to sustain operations for up to 30 days. The broad objective of this COOP plan is to provide for the safety and well-being of state agency employees. In addition, this plan will facilitate the execution of the state agency’s essential functions during any crisis or emergency in which primary state agency location is threatened or not accessible. Specific state agency COOP Plan objectives include the following:

* Enable staff to perform essential functions to prepare for and respond to the full spectrum of possible threats or emergencies including terrorism, technological catastrophes, natural or manmade disasters, and other crises.
* Identify key principals and supporting staff who will relocate.
* Ensure that the Emergency Relocation Site (ERS) can support Emergency Relocation Group (ERG) operations.
* Protect and maintain vital records and critical systems.

An emergency, such as an explosion, fire, or hazardous materials incident, may require the evacuation of one or more state agency locations with little or no advance notice. Building evacuation, if required, is accomplished via implementation of Occupant Emergency Plans for each location. *This COOP Plan is not an evacuation plan,* rather, it provides for a deliberate and preplanned movement of selected principals and supporting staff to the ERS.

Following an incident so severe that one or more state agency locations are rendered unusable, or if such an event appears imminent, the Commissioner instructs the agency Directors or Senior COOP Official to activate the state agency COOP Plan. The Director or Senior COOP Official deploys the appropriate members of the ERG.

## Phase I: Activation and Relocation

The extent to which orderly alert and notification is possible depends on the amount of warning received, whether personnel are on duty at state agency locations or off duty at home or elsewhere, and, possibly, the extent of risk for state agency personnel or locations.

### Decision Process

Execution of this COOP plan focuses on continuing the Insert Department/ Division Description Here essential functions via the relocation of select personnel, ERS operations, and critical systems recovery. This COOP plan may be executed in several phases that are delineated by the time from warning dissemination and the activities being performed. Depicted below is the State of Alaska Insert Department/ Division Description Here decision process.

Any disaster, whether natural, manmade, or technological, that adversely affects the state agency ability to perform essential functions, requires activation of this plan.

No

No

**Continue COOP** until site is ready

**Reoccupy Location?**

Yes

**Return to**

**Normal**

**Operations**

**Implement Reconstitution**

**Plans**

**Activate**

**COOP**

**Plan**

**Implement**

**COOP**

**at ERS**

Yes

**Location Accessible**

0-48 hrs

Yes

**Implement Occupant Emergency**

**Plans**

**Event**

**Monitoring**

**Reoccupy**

**Location**

No

**Evacuate Location?**

**Return to**

**Normal**

**Operations**

No

Yes

**Warning?**

0-24 hrs

**Implement Contingency**

**Plans**

### Alert, Notification, and Implementation Process

State agency staff will be contacted with alert and notification information using the following contact lists.

* Identify Insert Department/ Division Description Here Specific Contact List Here
* Insert Department/ Division Description Here Emergency Telephone Directory

**Note:** Information and guidance for state agency members is normally relayed by network messages, e-mail, or phone using existing emergency calling plans. All members of the Emergency Relocation Group (ERG) will be notified initially by phone; however, other state agency staff members will be notified via network alerts and/or public address announcements, as appropriate. Depending on the situation, current information may also available via announcements released to and made by local radio and TV stations.

Employees should listen for specific instructions and specifically for the words “Emergency Personnel.” All state agency employees should remain either at their office or at home until specific guidance is received.

### Leadership

#### Orders of Succession

In the event of a vacancy in the position of Commissioner/ Director, or the absence of the incumbent in this position, another individual serving in an acting capacity shall temporarily assume the duties of the position.

* Successor #1
* Successor #2
* Successor #3

#### Delegations of Authority

The Community and its Chief Municipal Officer are charged with maintaining a Continuity of Operations Plan.

Delegations of authority from the position of Chief Municipal Officer are established to ensure the ability of Community staff members to perform essential functions while remaining a viable part of the organization. Persons in the following positions, listed in order of precedence, are assigned continuity of operations responsibilities by the Chief Municipal Officer:

* Insert Primary Delegate’s Position Title Here
* Insert Secondary Delegate’s Position Title Here

The delegation of authority is limited to ??Insert information here

#### Emergency Response Group

Personnel with select knowledge, skills, and abilities are required to perform the tasks associated with the Community’s essential functions. The following personnel are identified as critical members of the ERG.

|  |  |  |
| --- | --- | --- |
| Position | Duties | Successor |
|  |  |  |
|  |
|  |
|  |  |  |
|  |
|  |
|  |  |  |
|  |
|  |
|  |  |  |
|  |
|  |
|  |  |  |
|  |
|  |
|  |  |  |
|  |
|  |
|  |  |  |
|  |
|  |
|  |  |  |
|  |
|  |

### Execution

Departure of ERG Advance Team:

The Community Chief Municipal Officer, or other person with delegated authority, directs the Emergency Management Director or Senior COOP Official to begin the movement of the ERG.

* The Senior COOP Official notifies the Relocation Site Support Official that the ERG has departed.
* ERG members depart with their flyaway kits.
* The Senior COOP Official notifies other Community offices outside the affected area and clients, as appropriate, that the activation of the COOP Plan is in progress.

Departure of Non-ERG Agency Personnel:

At the time of an emergency notification, and in the absence of guidance to the contrary, non-ERG personnel present at each affected Community location are directed to go home to await further instructions.

Transition of Responsibilities to the Deployed ERG:

* Following arrival at the ERS, the Community Chief Municipal Officer, or designee, orders the cessation of operations at the affected Community location(s).
* The Senior COOP Official notifies other offices outside the affected area that Community operations have shifted to the ERS.
* The Senior COOP Official notifies Community clients that operations have shifted to the ERS.
* As appropriate, the Senior COOP Official, or designated representative, notifies vendors and other service providers that Community operations have been relocated temporarily and provides direction to either continue or temporarily suspend provision of service.

## Phase II: Alternate Facility Operations

Alternative facilities (i.e., ERSs) must be capable of supporting operations in a threat-free environment in the event that essential functions and supporting staff are relocated to the site. A relocation site must have sufficient space and equipment to sustain operations for a period of up to 30 days. An ERS must also have the appropriate physical security and access controls.

The Senior COOP Official, or designated alternate, conducts semiannual reviews of the space allocations with each ERS Support Official to ensure the adequacy of space and other resources.

### Mission Critical Systems

In general, the telecommunication and information system support provided at Community locations is available independently at the ERS. It is imperative that the Senior COOP Official ensures that unique or critical information system requirements are considered in planning and, if appropriate, identified as capabilities to be provided by support organizations at the ERS. Community offices shall maintain all necessary and up-to-date files, computer software, and databases required to carry out essential functions.

| **System Name** | **Current Location** | **Other Locations** |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |

### Vital Files, Records, and Databases

Vital records are documents, references, and records, regardless of media type, that are needed to support essential functions under the full spectrum of emergencies and disasters.

All vital records must be protected from damage or destruction. Community vital records are stored in a properly equipped, environmentally controlled facility that is secure but also accessible when needed for records retrieval. The Senior COOP Official is to make certain that databases and other references supporting the essential functions of the Community are prepositioned at each ERS, carried with deploying personnel, or available through a backup process.

Over time, vital records become outdated and require updating through a process called cycling. Inclusion of cycling procedures in the Vital Records Management Program ensures that vital records are current and accurate when needed.

| **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** |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

| **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** |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

## Phase III: Reconstitution

Within hours of relocating to the ERS, the Senior COOP Official, with the approval of Federal, Commonwealth, and local law enforcement and emergency services, initiates operations to salvage, restore, and recover the Community location(s). These reconstitution efforts generally begin when the Chief Municipal Officer, or other authorized person, ascertains, in coordination with Federal, Commonwealth, and local authorities that the emergency situation has ended and is unlikely to recur. However, once the appropriate Community official determines that the emergency has ended; immediate reconstitution may not be practical. Depending on the situation, one of the following options should be considered for implementation:

* Continue to operate from the ERS.
* Begin an orderly return to Community locations and reconstitute from remaining Community offices or other resources
* Begin to establish a reconstituted Community in some other facility.

# COOP Planning Responsibilities

## Commissioner, Director, Deputy Director

* Provides overall policy direction, guidance, and objectives for COOP planning.
* Provides policy direction, guidance, and objectives during an incident for the implementation of the COOP Plan.
* Consults with and advises appropriate officials during implementation of the COOP Plan.
* Serves as the principal state agency representative to external parties and groups during implementation of the COOP Plan.

## Agency Program Managers

* Serves as the Insert Department/ Division Description Here COOP program point of contact.
* Coordinates implementation of the COOP Plan and initiates appropriate notifications inside and outside the Insert Department/ Division Description Here during COOP Plan implementation.
* Coordinates the COOP Training, Testing, and Exercising Program.
* Aids ERG efforts at the ERS.
* Initiates recovery of Insert Department/ Division Description Here, as part of reconstitution.

## ERS Support Official

* Prepares site support plans to support the implementation of the COOP Plan to facilitate the smooth transition of direction and operations from the state agency location(s) to the ERS.
* Provides for the proper storage of backup copies of vital records and other pre-positioned items.
* Designates personnel responsible to assist the arriving ERG Advance Team.
* Maintains a current roster of designated site support staff.
* Supports periodic coordination visits by state agency offices.
* Keeps the Senior COOP Official informed of site vulnerabilities or changes in site resources that may impact the effective implementation of the COOP Plan.
* Requests an annual security risk assessment of the ERS by security staff to assist in ensuring COOP relocation site readiness.
* Coordinates appropriate billeting arrangements with the ERS, if appropriate, for employees who will not commute and need to remain overnight near the ERS.
* Conducts periodic coordination visits to the ERS.
* Participates in scheduled tests, training, and exercises.

## Program Manager, Agency Staff

* Appoints a COOP point of contact for coordination and implementation of the COOP Plan.
* Keeps the Senior COOP Official informed of any changes in the designation of the office COOP point of contact.
* Identifies essential functions to be performed when any element of the state agency is relocated as part of the COOP Plan.
* Identifies those functions that can be deferred or temporarily terminated in the event the COOP Plan is implemented.
* Maintains a current roster of office personnel designated as ERG members.
* Maintains current personnel emergency notification and relocation rosters.
* Prepares backup copies or updates of vital records.
* Ensures that the time and attendance function is represented on the ERG.
* Designates personnel to assist security officials in securing office equipment and files at state agency locations when implementing the COOP Plan.
* Conducts periodic tests of the office telephone notification cascade(s).

## Agency Staff

* Review and understand the procedures for emergency evacuation of state agency locations in the Occupant Emergency Plan.
* Review and understand responsibilities related to COOP support functions and performance of state agency essential functions at a relocation site.
* Report to work to perform essential functions as detailed in this COOP plan or as requested.
* Provide current contact information to supervisors.

# Logistics

## Alternate Location

The Insert Department/ Division Description Here have designated one ERS to support the ERG following an event that disables the infrastructure supporting state agency activities that occur at department/ division offices. The ERS should be used when department/ division offices buildings are closed for normal business activities. The relocation site has adequate space, the necessary equipment, and the connectivity to support relocating each ERG responsible for performing essential functions.

## Interoperable Communications

The success of Insert Department/ Division Description Here operations at the Emergency Relocation Site (ERS) depends upon the availability and redundancy of significant communication systems to support connectivity to internal organizations, other agencies, critical customers, and the public. Interoperable communication should provide a capability to correspond with the state agency essential functions, to communicate with other Federal agencies, State agencies, and local emergency support personnel, and to access other data and systems necessary to conduct all activities.

# Test, Training, and Exercises

A changing threat environment and recent events emphasize the need for COOP capabilities that enable the state agency’s to continue its essential functions across a broad spectrum of emergencies. Continuity Guidance Circular 1 (CGC 1), in accordance with Continuity Guidance Circular 2 (CGC 2), states that testing, training, and exercising of COOP capabilities are necessary to demonstrate and improve the ability of agencies to execute their essential functions. The Insert Department/ Division Description Here Tests, Training, and Exercises (TT&E) Program incorporates the three functional areas of testing systems and equipment, training personnel, and exercising plans and procedures.

# Multi-Year Strategy and program Management Plan

## Multiyear strategy

The Insert Department/ Division Description Here COOP Plan Multiyear Strategy includes the objectives and key strategies for developing and maintaining a viable COOP program, including the support for short- and long-term initiatives.

## Program Management

The Program Management Plan is a critical element of the Insert Department/ Division Description Here strategic planning activities because it documents the tactics executed to achieve the initiatives in the multiyear strategy. It describes the Insert Department/ Division Description Here needs, defines roles and responsibilities, and documents specific program timelines. In addition, it provides an effective program management tool for oversight, resource allocation, and progress evaluation.

# COOP Plan Maintenance

To maintain viable COOP capabilities, the Insert Department/ Division Description Here is continually engaged in a process to designate essential functions and resources, define short- and long-term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones. Following is a list of standardized list of activities necessary to monitor the dynamic elements of the Insert Department/ Division Description Here COOP Plan and the frequency of their occurrence.

| **Activity** | **Tasks** | **Frequency** |
| --- | --- | --- |
| Plan update and certification | Review entire plan for accuracy.  Incorporate lessons learned and changes in policy and philosophy.  Manage distribution. | Annually |
| Maintain orders of succession and delegations of authority | Identify current incumbents.  Update rosters and contact information. | Semiannually |
| Maintain emergency relocation site readiness | Check all systems.  Verify accessibility.  Cycle supplies and equipment, as necessary. | Monthly |
| Monitor and maintain vital records management program | Monitor volume of materials.  Update/remove files. | Ongoing |

# Annex A: Authorities and References

Authority, support, and justification for continuity of operations (COOP) planning are provided through the documents listed below.

**Federal Guidance**

***Executive Order 12148–Federal Emergency Management*-**EO 12148 establishes Federal policies and coordinates civil emergency planning, management, and assistance functions. It also establishes the President’s role in working with State and local governments.

***Executive Order 12472–Establishment of the National Communications System-***EO 12472 establishes the National Communication Systems as a Federal interagency group assigned national security and emergency preparedness telecommunications responsibility throughout the full spectrum of emergencies. Responsibilities include planning, developing, and implementing enhancements to the national telecommunications infrastructure to achieve measurable improvements in survivability, interoperability, and operational effectiveness under all conditions. This is accomplished by effective management and by using national telecommunication resources to support the Government during any emergency.

***Executive Order 12656–Assignment of Emergency Preparedness Responsibilities-***EO 12656 is the foundation of these mandates. It requires Federal agencies to develop plans and procedures that ensure the survival of the U.S. Constitution and American Government by enabling them to continue to provide essential functions and services during and following a disaster or emergency. Executive Order 12656 assigns national security management preparedness responsibilities to Federal departments and agencies.

***Presidential Decision Directive 63-***PDD***–***63 is a national-level effort to ensure the security of the increasingly vulnerable and interconnected infrastructure of the United States. It requires departments and agencies to develop a plan for protecting critical infrastructures, including telecommunications, banking and finance, energy, transportation, and other essential functions and services. The directive addresses those services provided by Federal, State, and local governments.

***Presidential Decision Directive 67-***PDD***–***67 directs the Federal executive branch departments and agencies to have a viable COOP Plan and capability. Departments and agencies must be able to operate at their alternative facilities with or without warning no longer than 12 hours after the disaster and to maintain sustained operations for a minimum period of up to 30 days. The plans identify those requirements necessary to support the primary functions, such as emergency communications, establishing a chain of command, and delegations of authority.

***Executive Order 13228—Establishing the Office of Homeland Security and the Homeland Security Council-***EO 13228 establishes the Office of Homeland Security in response to the terrorist attacks on September 11, 2001. Responsibilities of the office include developing and coordinating the implementation of a comprehensive national strategy to secure the United States from terrorist threats or attacks. The office shall coordinate the executive branch’s efforts to detect, prepare for, prevent, protect against, respond to, and recover from terrorist attacks within the United States.

***Executive Order 13231—Critical Infrastructure Protection in the Information Age-***EO 13231 establishes a protection program that consists of continual efforts to secure information systems for critical infrastructure that includes emergency preparedness communications. To achieve this policy, there will be a senior executive branch committee to coordinate that will have cognizance over all Federal efforts and programs involving continuity of operations, continuity of government, and Federal department and agency information systems protection.

***Robert T. Stafford Disaster Relief and Emergency Assistance Act, Amended (U.S. Code Title 42 Section 5121)-***This act provides for an orderly and continual means of assistance by the Federal Government to state and local governments for carrying out their responsibilities to alleviate the suffering and damage that result from disasters. 42 USC 5121 encourages the development of comprehensive disaster preparedness and assistance plans, programs, capabilities, and organizations by the States and local governments.

***U.S. National Archives & Records Administration (NARA) Code of Federal Regulations-***The NARA Code of Federal Regulations (CFR), Subchapter B, Records Management, provides guidance and prescribes policies for records management programs relating to record creation and maintenance, adequate documentation, and proper record disposition.

***Homeland Security Presidential Directive–1-***The Homeland Security Council (HSC) shall ensure coordination of all homeland security-related activities among executive departments and agencies and promote the effective development and implementation of all homeland security policies. The HSC Principals Committee (HSC/PC) shall be the senior interagency forum under the HSC for homeland security issues. The HSC Deputies Committee (HSC/DC) shall serve as the senior sub-Cabinet interagency forum for consideration of policy issues affecting homeland security. HSC Policy Coordination Committees (HSC/PCC) shall coordinate the development and implementation of homeland security policies by multiple departments and agencies throughout the Federal Government, and shall coordinate those policies with State and local government.

***Homeland Security Presidential Directive–3-***The Homeland Security Advisory System provides warnings in the form of a set of graduated “Threat Conditions” that would increase as the risk of the threat increases. At each threat condition, Federal departments and agencies implement a corresponding set of “Protective Measures” to further reduce vulnerability or increase response capability during a period of heightened alert. This system is intended to create a common vocabulary, context, and structure for an ongoing national discussion about the nature of the threats that confront the homeland and the appropriate measures that should be taken in response. It seeks to inform and facilitate decisions appropriate to different levels of government and to private citizens at home and at work.

***FEMA Federal Preparedness Circular (FPC) No. 65–Federal Executive Branch Continuity of Operations (COOP)-***FPC 65 provides guidance to Federal executive branch departments and agencies for developing viable and executable contingency plans for continuity of operations. COOP planning facilitates the performance of department/agency essential functions during any emergency or situation that may disrupt normal operations. FPC 65 requires that each agency appoint a senior Federal Government executive as an emergency coordinator to serve as program manager and agency point of contact for coordinating agency COOP activities. This ensures continuous performance of an agency’s essential functions during an emergency and protects essential facilities, equipment, records, and other assets. The actions recommended in FPC 65 will reduce disruptions to operations and loss of life, and minimize damage and losses. It achieves a timely and orderly recovery from an emergency and resumption of full service to customers.

***Federal Preparedness Circular No. 66–Test, Training and Exercise (TT&E) Program for Continuity of Operations (COOP)-***FPC 66 provides guidance to Federal executive branch departments and agencies for use in developing viable and executable TT&E programs to support the implementation and validation of COOP plans. These activities are important elements of a comprehensive emergency preparedness program necessary to improve the ability of agencies to effectively manage and execute their COOP plans.

***Federal Preparedness Circular No. 67–Acquisition of Alternate Facilities for Continuity of Operations (COOP)-***FPC 67 provides guidance to Federal executive branch departments and agencies for acquiring alternative facilities to support their COOP. FPC 67 requires agencies to designate alternative operating facilities as part of their COOP plans and prepare their personnel for the possibility of sudden relocation of essential functions or COOP contingency staff to these facilities should an emergency necessitate that action.

**State of Alaska Guidance**

# Annex B: Alternate Location/Facility Information

The Insert Department/ Division Description Here has designated one primary Emergency Relocation Site (ERS) to support the Emergency Relocation Group (ERG) following an event that disables the infrastructure supporting state agency activities that occur at town hall and/or department offices buildings. The ERS should be used when town hall and/or department offices buildings are closed for normal business activities. The relocation site has adequate space, the necessary equipment, and the connectivity to support relocating each ERG responsible for performing essential functions.

| **Emergency Relocation Site Information** | |
| --- | --- |
| Address |  |
| Phone Number |  |
| Relocation Site Official |  |
| Directions |  |
| Map |  |

# Annex C: Plan Activation and Notification

The Insert Department/ Division Description Here has designated one primary Emergency Relocation Site (ERS) to support the Emergency Relocation Group (ERG) following an event that disables the infrastructure supporting state agency activities that occur at the department / division offices buildings. The ERS should be used when the headquarters and/or regional office buildings are closed for normal business activities. The relocation site has adequate space, the necessary equipment, and the connectivity to support relocating each ERG responsible for performing essential functions.

|  |  |  |  |
| --- | --- | --- | --- |
| **Emergency Level** | **Type of Events** | **COOP Plan Activation Authority** | **Notification Method** |
| (Local Emergency) | (Fire, attack on your headquarters’, etc.) | (Name & Title) | (Telephone tree) |
| (Describe Trigger (s) that activates plan) | (Agency specific announcement) |
|  |
| (Regional or National Emergency) | (Hurricane, flood or other localized disasters) | (Name & Title) | (Telephone tree) |
| (Describe Trigger(s) that activates plan – automatically activated 4 hours after an emergency has been declared.) | (Medial announcement addressing Federal government activities and directing Federal employees to report to alternate emergency work locations) |
| (National Security Emergency) | (Terrorist use of weapons of mass destruction) | (Name & Title) | (Telephone tree) |
| (Describe Trigger(s) that activates plan – automatically activated when employees are unable to communicate with their supervisors within 4 hours after the President declares an emergency) | (Medial announcement addressing Federal government activities, if available. If unavailable, activation is automatic after 4 hours.) |
| (Other Emergency) | (Event) | (Name & Title) | (Telephone tree) |
| (Describe Trigger(s) that activates plan) |  |

# Annex E: Definitions and Acronyms

The following terms or phrases are found in this document.

***Advance Team*** ERG personnel who immediately deploy to the Emergency Relocation Site (ERS) upon receiving a COOP warning or activation, to initiate actions at the ERS in preparation for the arrival of the main body of Emergency Personnel. Advance Team plus Emergency Personnel constitute an ERG.

***Business Continuity Plan (BCP)*** The BCP provides procedures for sustaining an organization’s business functions during and after a disruption. An example of a business function may be an organization’s payroll process or consumer information process. A BCP may be written for a specific business process or may address all key business processes.

***Business Recovery Plan (BRP)*** The BRP addresses the restoration of business processes after an emergency, but unlike the BCP, lacks procedures to ensure continuity of critical processes throughout an emergency or disruption.

***Continuity of Operations (COOP) Plan*** An action plan that provides for the immediate continuity of essential functions of an organization at an alternative facility for up to 30 days in the event an emergency prevents occupancy of its primary facility.

***Disaster Recovery Plan (DRP)*** The DRP applies to major, usually catastrophic, events that deny access to the normal facility for an extended period. Frequently, DRP refers to an IT-focused plan designed to restore operability of the target system, application, or computer facility at a relocation site after an emergency.

***Emergency Personnel*** The key principals and staff members of the ERG that is responsible for the execution of essential functions. Advance Team plus Emergency Personnel constitute an ERG.

***Emergency Relocation Group (ERG)*** Pre-designated principals and staff who move to the relocation site to continue essential functions in the event that locations are threatened or incapacitated. The ERG comprises Advance Team plus Emergency Personnel.

***Emergency Relocation Site (ERS)*** A remote alternative facility to which the ERG moves to continue essential functions in the event that traditional work sites are incapacitated.

***Essential functions*** Essential functions are those functions, stated or implied, that are required to be performed by statute or Executive order, or other functions deemed essential by the heads of principal organizational elements (i.e., administrators, office directors, and division directors).

***Occupant Emergency Plan (OEP)*** The OEP provides the response procedures for occupants of a facility in the event a situation poses a threat to the health and safety of personnel, the environment, or property. Such events include a fire, hurricane, criminal attack, or a medical emergency.

***Point of Contact (POC)*** Designated focal point for actions involving a specific plan, as in “COOP POC.”

***Relocation Site (RS) Support Official*** Serves as the COOP point of contact at each ERS. Responsible for the readiness and operational condition of the ERS, as appropriate, including telecommunications, infrastructure, and equipment; and support the billeting and meal needs of the ERG.

***Senior COOP Official*** Serves as the COOP point of contact. Responsible for coordinating implementation of the COOP Plan; initiating appropriate notifications inside and outside the Agency during COOP Plan implementation; being the point of contact for all COOP training, testing, and exercising; assisting ERG efforts at the ERS; and initiating recovery of the Agency as part of reconstitution.