

**State of Ohio**  
**Agency Name**

**Continuity of Operations Plan Template**

Month Year

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## ***PURPOSE OF THE TEMPLATE***

*The following document provides instructions, guidance, and sample text for the development of COOP plans and programs in accordance with Continuity Guidance Circular 1 (CGC 1), Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions), dated July 2013, and Continuity Guidance Circular 2 (CGC 2), Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions), dated October 2013. This Template is intended to be used in coordination with, not in place of, a web-based business continuity planning tool.*

*The guidance in this job aid applies to all levels of State government. Our partners in the county and local government, private sector, and other non-governmental organizations may also use this job aid as a business continuity planning template.*

*The document is based on best practices gathered from other States and follows the traditional functional Emergency Operations Plan format detailed in the Federal Emergency Management Agency (FEMA) National Preparedness Directorate's Comprehensive Preparedness Guide (CPG) 101, Developing and Maintaining Emergency Operations Plans, dated November 2010. By using this job aid to develop COOP plans, agencies will be addressing each of the planning elements and requirements described in CGC 1 and 2. This document also identifies the key elements necessary of a viable COOP plan, describes recommended content for each section of COOP plans, and includes sample text, tables, and graphics which may be modified as appropriate.*

*This job aid is organized in a flexible format, so that agencies may select all or only certain sections of the planning guidance to develop or improve upon their plans. It should be noted that, in its current format, this job aid is considered unclassified; however, agencies should be aware of the COOP plans as appropriate.*

*An electronic version of this document is available in portable document format (PDF) on the Ohio Department of Administrative Services website (<http://das.ohio.gov>). To request a Microsoft® Word version, please contact the Office of Business Continuity. Questions concerning this job aid or COOP planning may be directed to:*

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## I. INTRODUCTION

*The Introduction should provide an overview of the agency's approach to continuity of operations planning, detailing COOP and agency-specific policies, describing the agency's missions and organization, and assigning tasks. The plan elements listed in this section will provide a solid foundation for the development of supporting annexes.*

## II. PROMULGATION STATEMENT

*The promulgation statement should briefly outline the agency's mission and its COOP plan, describing what the plan is, who it affects, and the circumstances under which it should be executed. Promulgation is the process that gives the plan status and gives both the authority and the responsibility to agencies to perform tasks assigned up the COOP. Agency heads or their designees may approve the COOP plan by signing the promulgation statement. Once signed, the promulgation statement officially declares and accepts the COOP plan as actionable. Sample text for this section is provided below.*

The [Agency Name]'s mission is to [enter mission statement]. To accomplish this mission, [Agency Name] must ensure its operations are performed efficiently with minimal disruption to services, especially during an emergency. This document provides planning and programmatic guidance for implementing the [Agency Name] Continuity of Operations Plan and ensures the agency is capable of conducting its mission and essential functions under all threats and conditions.

Key [Agency Name] essential employees who are relocated under this plan are collectively known as the [Insert name of group, such as Emergency Relocation Group]. Upon plan activation, the [Insert name of group, such as Emergency Relocation Group] will deploy to [insert alternate work location name and/or address]. Upon arrival, essential employees will establish an operational capability and perform essential functions within 12 hours from the time of activation of the Continuity of Operations Plan, for up to a 30-day period or until normal operations can be resumed.

This plan is developed in accordance with continuity planning guidance defined in the *National Continuity Policy Implementation Plan*; Continuity Guidance Circular 1 (CGC 1) , *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013; Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments*, dated October 2013; [Agency Name] Management Directive [enter Directive number and title]; and other related directives and guidance.

[Agency Head signs here]  
[Enter Agency Head's name here]  
[Enter Agency Head's title here]  
[Enter Agency Name here]

### III. PLAN REVIEW AND MAINTENANCE

#### A. PLAN REVIEW

*The COOP plan, essential functions, and business impact analysis should be reviewed and updated on an annual basis or after an actual event. The date of the review and the names of personnel conducting the review should be captured in the following table.*

Once a year, [Agency Name] reviews its main Continuity of Operations Plan, sub-components, and supporting elements, and makes any required updates or changes.

#### 1. SAMPLE: SCHEDULE

Element Review	Date of Last Review	Individual Conducting Review
Continuity of Operations Plan		
Essential Function(s)		
Business Impact Analysis		
Alternate Work Locations' Suitability and Functionality		
Alternate Work Locations' Memorandums of Understanding (MOU)/Memorandums of Agreement (MOA)		
Continuity Communications' ability to support Essential Functions fully		

#### B. MAINTENANCE

The [Agency Name] and respective portions of each division's and program office's COOP are audited and/or tested on an annual basis to ensure the plan is viable and effective. The [Agency Name] Assessment Team shall utilize the [Agency Name] COOP Maintenance Checklist [Appendix #] to periodically evaluate and refine the [Agency Name] COOP.

#### C. DIVISIONAL COOP PLAN CERTIFICATION

*On an annual basis, the agency's off-site subdivisions (e.g., district, regional, field, and other off-site offices) should submit documentation of continuity of operations planning efforts to the parent agency. Agencies may use regional or overarching COOP and devolution of control plans that define and integrate the continuity capabilities of multiple subdivisions.*

Once a year, [Agency Name]'s subdivisions should submit to [Agency Name] main office certification that the subdivision maintains a Continuity of Operations Plan and the date of plan review/revision.

## IV. RECORD OF CHANGES

*The Business Continuity Coordinator should track and record any changes made to the COOP Plan using a record of changes table. The record of changes should contain, at a minimum, a change number, the date of the change, the name of the person who made the change, and a description of the change. The following table shows an example of how to track plan changes.*

### SAMPLE: Record of Changes Table

Change #	Section	Date of Change	Individual Making Change	Description of Change

## V. RECORD OF DISTRIBUTION

*The record of distribution, usually in table format, should indicate the title and the name of the person receiving the plan, the agency and/or subdivision to which the receiver belongs, the date of delivery, the method of delivery, and the number of copies delivered. The record of distribution can be used to verify that the tasked individuals and agencies have acknowledged their receipt, review, and/or acceptance of the plan. The following table shows an example of a record of distribution.*

### SAMPLE: Record of Distribution Table

Date of Delivery	Number of Copies Delivered	Method of Delivery	Name, Title, and Agency or Subdivision

## VI. SITUATION OVERVIEW

### A. PURPOSE

*This section should explain the importance of continuity of operations planning and why the agency is developing a COOP plan. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a continuity of operations planning. Sample text for this section is provided below.*

The [Agency Name]’s mission is to [enter mission statement]. To accomplish this mission, the [Agency Name] must ensure its operations are performed efficiently with minimal disruption to services, especially during an emergency. This document provides planning and programmatic guidance for implementing the [Agency Name’s] Continuity of Operations Plan to ensure that the agency is capable of carrying out its mission and essential functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective continuity of operations planning may minimize the impact on the [Agency Name’s] mission, systems, employees, and facilities.

The overall purpose of continuity of operations planning is to ensure the continuity of essential functions under all conditions. The current ever-changing threat environment and recent emergency events, including acts of nature, man-made accidents, technological emergencies, and military incidents, have increased the need for viable emergency response capabilities and continuity of operations plans that enable agencies to continue their essential functions in an all-hazards environment, across a wide spectrum of emergencies. These conditions, coupled with the potential for terrorist attacks, have increased the importance of having comprehensive continuity of operations programs in place *before* an emergency occurs to ensure the continuity of essential functions across all levels of government *during* and *after* an actual event.

## **B. SCOPE**

*The scope should describe the applicability of the plan to the agency as a whole, main offices as well as sub-divisions, co-located as well as geographically dispersed, and to specific employees in the agency. It should also include the scope of the plan. Ideally, COOP plans should address the full spectrum of potential threats, crises, and emergencies (natural and man-made). Sample text for this section is provided below.*

This Continuity of Operations Plan applies to the essential functions, businesses processes, and resources necessary to ensure the continuation of [Agency Name]’s essential functions in the event its normal operations at [Primary Work Location Name or Address] are disrupted or threatened with disruption. This plan applies to all [Agency Name] employees at [Primary Work Location Name or Address]. All [Agency Name] staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

## **C. SITUATION**

*The section should characterize the “planning environment,” making it clear why a continuity of operations plan is necessary. In this section, agencies should reference their risk assessment to summarize the hazards faced by their agency and the relative probability and impact of the hazards. Sample text for this section is provided below.*

According to the National Continuity Policy Implementation Plan, Governor’s Executive Order XX, and the Ohio Department of Administrative Services’ Business Continuity Policy, HRD-xx, it is the policy of the United States and the State of Ohio to maintain a comprehensive and effective continuity capability. By establishing an enterprise continuity capability, the State of Ohio is guaranteeing the continued performance of State essential functions throughout a catastrophic event, continued and enduring constitutional government, and ensuring that essential services are provided to citizens. A comprehensive and integrated continuity capability will enhance the

credibility of not only our national security posture, but also our State's security, enabling a more rapid and effective response to and recovery from an emergency.

Further, continuity of operations planning should be based on the assumption that agencies will not receive warning of an impending emergency. As a result, a risk assessment is essential to continuity of operations planning. Risk-specific appendices that address the results of the **[Agency Name's]** risk assessment are found in **[Appendix #]** to this plan.

The **[Agency Name]** alternate work locations were selected following an all-hazards risk assessment of facilities for continuity of operations use. This risk assessment addresses the following factors for each alternate work location:

- Identification of hazards.
- A vulnerability assessment to determine the effects of hazards.
- A cost-benefit analysis of implementing risk mitigation, prevention, or control measures
- A formal analysis by management of acceptable risk.
- Sufficient distance between each facility location or threatened area and other facilities or locations that are potential sources of disruptions or threats.
- Sufficient levels of physical security required to protect against identified threats.
- Sufficient levels of information security required to protect against identified threats

Further, the **[Agency Name]** has evaluated its daily operating facilities in accordance with inter-agency risk and safety standard operating procedures or applicable agency standards. This evaluation is found in **[Appendix #]** to this plan.

## **D. PLANNING ASSUMPTIONS**

*This section should familiarize the reader with the underlying assumptions made during the planning process. Sample text for this section is provided below.*

This Continuity of Operations Plan is based on the following assumptions:

- An emergency condition may require the relocation of the **[Agency Name's]** Emergency Relocation Group (ERG) to the alternate work location at the **[alternate work location name or address]**.
- The **[alternate work location name or address]** will support the ERG and the continuation of the **[Agency Name's]** essential functions by available communications and information systems within 12 hours from the time the Continuity of Operations Plan is activated, for potentially up to a 30-day period or until normal operations can be resumed
- The **[Agency Name]** off-site subdivisions are unaffected and available to support actions as instructed by the **[title of agency head]** or his or her successor; however, in the event that the ERG deployment is not feasible due to the loss of personnel, the **[Agency Name]** will devolve to **[list devolution office or address]**.
- The web-based business continuity planning tool will be available to open an incident under and begin recording activation of the **[Agency Name]** Continuity of Operations Plan.
- **[Insert additional assumptions here]**

## E. OBJECTIVES

*This section should list the objectives that the plan is designed to meet. Continuity of operations planning objectives are identified in the State of Ohio Enterprise Business Continuity Program Charter, as well as CGC-1. Sample text for this section is provided below.*

Continuity of operations planning objectives for all State agencies are identified in the State of Ohio Administrative Policy HR-xx, dated April 1, 2015; the State Business Continuity Program Guidance Document, dated February 2015; and the CGC 1, *Continuity Guidance for Non-Federal Governments (States, Territories, Tribal, and Local Government Jurisdictions)*, dated July 2013.

The [Agency Name's] continuity of operations objectives are listed below:

1. Provide for the continuous performance of mission-essential functions during and after an emergency.
2. Protect facilities, equipment, IT systems, records, and other assets that support essential functions.
3. Establish continuity of government by identifying orders of succession and/or devolution of control.
4. Establish alternate work locations from which the agency may continue its operations.
5. Reduce and/or mitigate disruptions to operations.
6. Provide timely and orderly devolution of control during the emergency or reconstitution to the primary work location after the emergency is over.
7. Minimize loss to the enterprise.
8. Prepare employees for response to emergencies through integrated testing, training, and exercise (TT&E) and offer support to employees during emergencies.

## F. SECURITY AND PRIVACY STATEMENT

*This section should detail the public record classification of the COOP plan. Since continuity of operations plans and procedures are sensitive, agency-specific documents, at a minimum, should be classified as "For Official Use Only". Further, if the COOP plan includes a roster of essential employees that includes personal information, such as telephone numbers, that information is protected from release under the Privacy Act of 1974. Agencies should consult with their security office to ensure their COOP plans are appropriately classified and marked. This section also should include dissemination instructions, including to whom and via what means the agency will disseminate the plan. Sample text for this section is provided below.*

This document is considered [insert classification information here (e.g., For Official Use Only)]. Portions of the Plan contain information that raises personal privacy or other concerns, and those portions may be exempt from mandatory disclosure under the Freedom of Information Act (see 5 United States Code §552, 41 Code of Federal Regulations Part 105-60). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with [insert security reference document] and is not to be released without prior approval of the [insert title of approving authority] to the public or other personnel who do not have a valid "need to know". Some of the information in this Plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security

of essential resources, functions, and systems of the [Agency Name] or otherwise impair its ability to carry out its mission. Distribution of the Continuity of Operations Plan in whole or part is limited to those personnel who need to know the information in order to successfully implement the plan.

The [Agency Name, Business Continuity Coordinator's Office] will distribute copies of the Continuity of Operations Plan on a need to know basis. **[Insert procedures for distributing the plan to the ERG and all personnel, e.g. via hard copy, electronic copy, and/or posting on internal websites]**. In addition, copies of the Plan will be distributed to other agencies as necessary to promote information sharing and facilitate a coordinated inter-agency continuity planning effort. Further distribution of the plan is not permitted without approval from the **[insert position title]**. The [Agency Name, Business Continuity Coordinator's Office] will distribute updated versions of the Continuity of Operations Plan annually or as critical changes occur.

## VII. CONCEPT OF OPERATIONS

*This section should explain how the agency will implement its COOP plan, and more specifically, how it will address each planning element. This section should be separated into four phases: readiness and preparedness, activation, continuity of operations, and reconstitution operations. Devolution of control planning strongly correlates in each phase, and is also addressed in this section.*

### A. PHASE I: READINESS AND PREPAREDNESS

*This section should address the readiness and preparedness activities being taken to ensure personnel can continue essential functions. Readiness is the ability of an agency to respond to a continuity event. This phase includes all of the agency's continuity readiness and preparedness activities. Agencies should only include those readiness and preparedness activities and systems that are applicable to their plan. Sample text for this section is provided below.*

The [Agency Name] will participate in the full spectrum of readiness and preparedness activities to ensure personnel can continue essential functions in an all-hazards threat environment. The [Agency Name] readiness activities are divided into two key areas:

- Agency readiness and preparedness
- Staff readiness and preparedness

#### 1. AGENCY READINESS AND PREPAREDNESS

[Agency Name] preparedness activities incorporate hazard/threat warning systems into planning, which includes:

- **[List threat and warning systems here]**.

#### 2. STAFF READINESS AND PREPAREDNESS

[Agency Name] personnel prepare for a continuity event and plan in advance for what to do in an emergency. Personnel are encouraged to develop a Family Support Plan to increase personal and family preparedness. The Ready Ohio website (<http://www.ready.ohio.gov/>) provides guidance for

developing a Family Support Plan and includes a “Get Ready Now” pamphlet that explains the importance of planning and provides a template that can be tailored to meet family-specific planning requirements. Employees are also encouraged to contact their local emergency management agency to become familiar with threats and hazards that may exist near their homes.

[Agency Name] essential employees are required to create and maintain “go”-kits. Essential employees are responsible for carrying these kits to the alternate work location or pre-positioning the kits at the alternate work location. A typical go-kit should contain those items listed in the table below. The [Agency Name] will implement the following procedures to maintain currency of the “go” kits:

- [Insert procedures here, such as having essential employees bring kits on annual exercises.
- Distributing materials updated quarterly or
- Establishing an acquisition program to regularly replace agency-supplied emergency items].

*The following table lists suggested items for continuity “go” kit contents.*

**SAMPLE: Go-Kit Supplies Table**

Go-Kit Supplies	
<ul style="list-style-type: none"> <li>• Identification and credit cards                             <ul style="list-style-type: none"> <li>– Agency identification card</li> <li>– Driver’s license</li> <li>– Essential Employee Card</li> <li>– Health insurance card</li> <li>– Personal credit card</li> <li>– State-issued credit card</li> </ul> </li> <li>• Communication equipment                             <ul style="list-style-type: none"> <li>– Pager/BlackBerry</li> <li>– State-issued cell phone</li> <li>– Personal cell phone</li> </ul> </li> <li>• Hand-carried Essential Records</li> <li>• Continuity of Operations Plan</li> <li>• Directions to alternate work location</li> <li>• Maps of surrounding area</li> <li>• Business and casual clothing</li> <li>• Flashlight</li> </ul>	<ul style="list-style-type: none"> <li>• Business and personal contact numbers                             <ul style="list-style-type: none"> <li>– Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)</li> </ul> </li> <li>• Toiletries</li> <li>• Chargers/extra batteries for phones, GPS, laptops, iPads, and/or other mobile devices</li> <li>• Bottled water and non-perishable food (i.e., granola bars, dried fruit, etc.)</li> <li>• Medical needs                             <ul style="list-style-type: none"> <li>– Insurance information</li> <li>– List of allergies/blood type</li> <li>– Hearing aids and extra batteries</li> <li>– Glasses and contact lenses</li> <li>– Extra pair of eyeglasses/contact lenses</li> <li>– Prescription drugs (30-day supply)</li> <li>– Over-the-counter medications, dietary supplements</li> </ul> </li> <li>• [Insert additional recommended items]</li> </ul>

In addition, the [Agency Name] will conduct the following readiness and preparedness activities:

- [Insert any additional agency readiness and preparedness measures for agency personnel here, such as:
- New employee orientation training,
- Brown bags
- Working lunch informational sessions,

- **Reporting of employee emergency contact information (outside business hours) to employees' supervisors,**
- **Distribution of Senior-management outside-business hours contact information to lower-level management,**
- **Exercising employee emergency notification systems.]**

## **B. PHASE II: ACTIVATION**

*This section should explain the activation process from the primary operating facility and provide a process or methodology for attaining operational capability at the alternate work location(s) with minimal disruption to operations within 12 hours of plan activation. This section should also address procedures and guidance for agency personnel who will not relocate to the alternate work location. Sample text for this section is provided below.*

To ensure the ability to attain operational capability at alternate work locations and with minimal disruption to operations, the **[Agency Name]** will execute activation plans as described in the following sections.

### **1. DECISION PROCESS**

Based on the type and severity of the emergency situation, the **[Agency Name]** Continuity of Operations Plan may be activated by one of the following methods:

- (a) The state governor may initiate Continuity of Government activation;
- (b) The **[Agency Head]**, designee, or designated successor, may initiate the Continuity of Operations Plan for the entire agency, based on an emergency or threat directed at the agency; or
- (c) **[Insert additional activation measures here]**

Continuity of Operations Plan activation is decided based upon the authority of the individuals listed above. This decision is based on a scenario-driven process that allows flexible and scalable responses to the full spectrum of all hazards and threats that could disrupt operations with or without warning and during work or non-work hours. Continuity of Operations Plan activation will not be required for all emergencies or disruptions, since other actions may be more appropriate.

The decision to activate the **[Agency Name]** Continuity of Operations Plan and related actions will be tailored for the situation and based on projected or actual impact and whether or not there is a warning period. To support the decision-making process regarding plan activation, key agency personnel will use the decision matrix below to support the Plan activation process.

### **SAMPLE: Decision Matrix**

<b>Decision Matrix for Continuity of Operations Plan Implementation</b>		
	<b>Work Hours</b>	<b>Non-Work Hours</b>
<b>Event with Warning</b>	<ul style="list-style-type: none"> <li>• Is the threat aimed at the facility or its surrounding area?</li> <li>• Is the threat aimed at agency personnel?</li> </ul>	<ul style="list-style-type: none"> <li>• Is the threat aimed at the facility or surrounding area?</li> <li>• Is the threat aimed at agency personnel?</li> <li>• Who should be notified of the threat?</li> </ul>

	<ul style="list-style-type: none"> <li>• Are employees unsafe remaining in the facility and/or area?</li> <li>• <b>[Insert additional points here]</b></li> </ul>	<ul style="list-style-type: none"> <li>• Is it safe for employees to return to work the next day?</li> <li>• <b>[Insert additional points here]</b></li> </ul>
Event without Warning	<ul style="list-style-type: none"> <li>• Is the facility affected?</li> <li>• Are personnel affected?</li> <li>• Have personnel safely evacuated, or are they sheltering-in-place?</li> <li>• What are instructions from first responders?</li> <li>• How soon must the agency be operational?</li> <li>• <b>[Insert additional points here]</b></li> </ul>	<ul style="list-style-type: none"> <li>• Is the facility affected?</li> <li>• What are instructions from first responders?</li> <li>• How soon must the agency be operational?</li> <li>• <b>[Insert additional points here]</b></li> </ul>

As the decision authority, the **[Agency Head]** will be kept informed of the threat environment using all available means, including the **[Agency Name]** Emergency Operations Center, regional notification systems, local operations, and State and local reporting channels and news media. The **[Agency Head]** will evaluate all available information relating to:

- (1) Direction and guidance from higher authorities
- (2) The health and safety of personnel
- (3) The ability to execute essential functions
- (4) Changes in threat advisories
- (5) Intelligence reports
- (6) The potential or actual effects on communications systems, information systems, facilities, and other vital equipment
- (7) The expected duration of the emergency situation
- (8) **[Insert other agency considerations here]**

## 2. ALERT AND NOTIFICATION PROCEDURES

The **[Agency Name]** maintains plans and procedures for communicating and coordinating activities with personnel before, during, and after a continuity event.

Before an event, personnel in the **[Agency Name]** will monitor advisory information, including the **[insert applicable systems]**. In the event normal operations are interrupted or an incident appears to be imminent, the **[Agency Name]** will take the following steps to communicate the agency’s operating status with all staff:

- (a) The **[Agency Head]** or designated successor will notify **[insert office/title]** of the emergency requiring Continuity of Operations Plan activation
- (b) **[Insert notification steps here. Include methods of notification, name/group that initiates notification and required responses of all agency personnel upon notification. If the agency maintains an advance team to prepare the continuity site for arrival, include here]**
- (c) The **[Agency Name]** personnel will notify family members, next of kin, and/or emergency contacts of Continuity of Operations Plan activation

Upon the decision to activate the Continuity of Operations Plan, the [Agency Name] will notify all [Agency Name] personnel, as well as affected and interdependent entities with information regarding continuity activation status, operational and communications status, and the anticipated duration of relocation. These entities include:

- Alternate work locations and on-site support teams with information regarding continuity activation, relocation status, and the anticipated duration of relocation
- The [Agency Name]’s Operations Center via [**include contact information**], the [Agency/Entity Name] and other applicable elements/entities with information regarding continuity activation status, the [Agency Name]’s alternate work location, operational and communication status, and the anticipated duration of relocation
- All [Agency Name] employees with instructions and guidance regarding the continuity activation
- Agency main office, if a subdivision.
- Subdivisions, if an agency main office.
- [**Insert other points-of-contact, adjacent agencies, customers, stakeholders, and interdependent agencies here**]

### 3. RELOCATION PROCESS

Once the Continuity of Operations Plan is activated and personnel are notified, the [Agency Name] will relocate essential employees and Essential Records to the [Agency Name] alternate work location(s) if necessary. The [Agency Name] essential employees will deploy/relocate to the alternate work location(s) to perform the [Agency Name]’s essential functions and other continuity-related tasks. A map and directions to the alternate work location will be included as part of the Continuity of Operations Plan [**insert where the map is in the Plan**].

Emergency procedures during work hours with or without a warning will be implemented as follows:

- Essential employees, including advance team personnel, if applicable, will depart to the designated alternate work location from the primary operating facility or current location using [**insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees**].
- Non-essential employees present at the primary operating facility or another location will receive instructions from the [**insert authority**]. In most scenarios, non-essential employees will be directed to proceed to their homes or other [Agency Name] facilities to wait for further guidance.
- At the time of notification, if available, information will be provided regarding safety precautions and routes to use when leaving the primary operating facility.

Emergency procedures during non-working hours with or without a warning will be implemented as follows:

- Advance team members, if applicable, will deploy to the designated alternate work location from their current location using [**insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport**

of disabled continuity employees] at [insert time here, such as immediately, the time specified during notification, etc.].

- Essential employees will depart to the assigned alternate work location from their current location using [insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees] at [insert time here, such as immediately, the time specified during notification, etc.].
- Non-essential employees will remain at their residence or other designated facility to wait for further instructions.

Non-essential employees may be required to replace or augment essential employees during activation. These activities will be coordinated by the [insert office/title] with the replacement staff on a case-by-case basis. Non-essential employees will remain available to replace or augment essential employees, as required.

The [Agency Name title/authority] will direct the [Agency Name]'s non-essential employees to move to [insert location, such as another facility, duty station, or home] until further notice.

In the event of an activation of the Continuity of Operations Plan, the [Agency Name] may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The [Insert office/title/authority] maintains the authority for emergency procurement. Instructions for these actions are found [insert instructions below or insert location of instructions if found in another document].

### C. PHASE III: CONTINUITY OPERATIONS

*This section should describe the initial arrival process and operational procedures for the continuation of essential functions. Sample text for this section is provided below.*

Upon activation of the Continuity of Operations Plan, the [Agency Name] will continue to operate at its primary operating facility until ordered to cease operations by the [insert authority] using [insert method of notification here]. At that time, essential functions will transfer to the alternate work location. The [Agency Name] should ensure that the continuity of operations plan can be operational within 12 hours of plan activation.

The advance team will be first to arrive at the alternate work location to prepare the site for the arrival of the essential employees. Upon arrival at the alternate work location, the advance team will:

- Ensure infrastructure systems, such as power and heating, ventilating, and air conditioning are functional
- Prepare check-in duty stations for ERG arrival
- Address telephone inquiries from ERG and non-ERG staff
- [Insert additional tasks here]

As essential employees arrive, the [insert office/title] will conduct in-processing to ensure accountability. In-processing procedures are conducted at [insert exact location of in-processing]

and will include: **[insert steps to in-process essential employees here, including how to obtain the roster of essential employees and how the agency will reach individuals who have not in-processed for accountability, etc.]**. In addition, the office will identify all agency leadership available at the alternate work location.

Upon arrival at the alternate work location, the **[Agency Name]** essential employees will:

- Report immediately to **[insert location]** for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace as identified in **[insert location]** or as otherwise notified during the activation process
- Retrieve pre-positioned information and activate specialized systems or equipment
- Monitor the status of **[Agency Name]**'s personnel and resources
- Continue **[Agency Name]**'s essential functions
- Prepare and disseminate instructions and reports, as required
- Comply with any additional continuity reporting requirements with the **[Agency Name]**
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information
- **[Insert additional tasks here]**

A requirement of essential employees is to account for all **[Agency Name]** personnel. The **[Agency Name]** will use the following processes to account for all personnel:

- **[Insert processes here, such as using call down telephone trees, a 1-800 number, an alert and notification system, a website, etc. Include what office/title is responsible and how they will communicate with personnel who are unaccounted for.]**

During continuity operations, the **[Agency Name]** may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The **[Insert office/title/authority]** maintains the authority for emergency acquisition. Instructions for these actions are found **[insert instructions below or insert location of instructions if found in another document]**.

#### **D. PHASE IV: RECONSTITUTION OPERATIONS**

*Agencies should identify and outline a plan to return to normal operations once agency heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated. Sample text for this section is provided below. For additional information on reconstitution, see CGC I, Annex M.*

Within **[insert time period]** of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover the **[Agency Name]** primary operating facility after receiving approval from the appropriate State and local law enforcement and emergency services:

- **[Insert title]** will serve as the Reconstitution Manager for all phases of the reconstitution process

- Each **[Agency Name]** subcomponent will designate a reconstitution point-of-contact (POC) to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution and provide names of reconstitution POCs to **[insert title/office]** within **[insert number]** hours of the Continuity of Operations Plan activation

During continuity operations, **[insert office/title]** should determine the status of the primary operating facility affected by the event by **[insert methods here]**. Upon obtaining the status of the facility, **[Agency Name]** will determine how much time is needed to repair the primary operating facility and/or acquire a new facility. This determination is made in conjunction with **[insert partner agencies and subdivisions here]**. Should **[Agency Name]** decide to repair the facility, **[insert office/title]** has the responsibility of supervising the repair process and should notify **[insert office/title]** of the status of repairs, including estimates of when the repairs will be completed.

Reconstitution will commence when the **[Agency Head]** or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity of Operations Plan. Once the appropriate **[Agency Name]** authority has made this determination in coordination with other State, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue to operate from the alternate work location
- Reconstitute the **[Agency Name]** primary operating facility and begin an orderly return to the facility
- Begin to establish a reconstituted **[Agency Name]** in another facility or at another designated location
- **[Insert any additional agency options here]**

Before relocating to the primary operating facility or another facility, the **[insert office/title]** will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the **[insert office/title]** will verify that all systems, communications, and other required capabilities are available and operational and that the **[Agency Name]** is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.

Upon a decision by the **[Agency Head]** or other authorized person that the **[Agency Name]** primary operating facility can be reoccupied or that **[Agency Name]** will be reestablished in a different facility:

- The **[Agency Name]** Continuity Coordinator or other authorized individual should notify the **[insert partner agencies, subdivisions, and contact information here]** when available, and other applicable operations centers with information regarding continuity activation status, the **[Agency Name]** alternate work location, operational and communication status, and anticipated duration of relocation. The **[Agency Name]** shall submit a Continuity Status Reporting Form, only if it contains more information beyond what has been reported, to **[insert contact information for appropriate status reporting]**

**procedures here]** using the form and procedures provided by the **[Agency Name]** or other specified continuity POC.

- The **[Insert office/title]** will develop space allocation and facility requirements.
- The **[Insert office/title]** will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using **[insert method of communication here]**.
- The **[Insert office/title]** will coordinate with the **[Agency Name]** and/or other applicable facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable.
- The **[Insert office/title]** will develop procedures, as necessary, for restructuring staff.
- The **[Insert any additional activities associated with planning for reconstitution here]**.

Upon verification that the required capabilities are available and operational and that the **[Agency Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility, the **[insert office/title]** will begin supervising a return of personnel, equipment, and documents to the primary operating facility or a move to a temporary or new permanent primary operating facility. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined below; the **[Agency Name]** will develop return plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert priority-based phase-down and return plan here]**

The **[Agency Name]** will continue to operate at its alternate work location until ordered to cease operations by the **[insert authority]** using **[insert method of notification here]**. At that time, essential functions will transfer to the primary operating facility. The **[Agency Name]** has developed plans to instruct personnel on how to resume normal operations as outlined below; the **[Agency Name]** will develop resumption plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert normal operations resumption plan here]**

The **[Insert office/title]** will identify any records affected by the incident by **[insert identification processes or contacts here]**. In addition, the **[insert office/title]** will effectively transition or recover Essential Records and databases, as well as other records that had not been designated as Essential Records, using the plan outlined below; the **[Agency Name]** will develop Essential Records transition and recovery plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert Essential Records transition and recovery plan here]**.

When the essential employees, equipment, and documents are in place at the new or restored primary operating facility, the remaining **[Agency Name]** staff at the alternate work location or devolution site will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The **[Insert title or titles]** will oversee the orderly transition from the alternate work location of all **[Agency Name]** functions, personnel, equipment, and records to a new or restored primary operating facility. The **[Insert office/title]** will develop a process for receiving and processing employee claims during the continuity event, including processing

Human Resources claims (such as, Workers' Compensation, compensation for injuries, overtime pay, etc.) and replacing lost or broken equipment.

The **[Agency Name]** will conduct an After Action Review (AAR) once back in the primary operating facility or in a new primary operating facility. The **[Insert office/title]** is responsible for initiating and completing the AAR and all offices within **[Agency Name]** will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity of operations plans and procedures, identify areas for improvement, document these in the **[Agency Name]** corrective action program (CAP), and then develop a remedial action plan as soon as possible after the reconstitution. The **[Insert office/title]** is responsible for documenting areas for improvement in the CAP and developing a remedial action plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with the **[insert office]** to ensure an effective transition or recovery of Essential Records and databases and other records that had not been designated as Essential Records. AAR and CAP documentation are maintained by the **[insert office]** and are found at **[insert location]**.

## **E. DEVOLUTION OF CONTROL AND DIRECTION**

*Devolution planning should support overall continuity of operations planning and addresses the full spectrum of all-hazard/threat emergency events that may render an agency's leadership or staff unavailable to support, or incapable of supporting, the execution of the agency's essential functions from either its primary operating facility or alternate work location. Sample text for this section is provided below. **Note:** Agencies that use a devolution plan that is separate from their continuity of operations plan should include baseline information from their devolution plan in this section including references to where this information is located in their devolution plan. For additional information on developing a devolution plan, see CGC 1, Annex L, Devolution of Control and Direction. Planning guidance may be found on-line at: <http://www.fema.gov/planning-templates>*

The **[Agency Name]** is prepared to transfer all of its essential functions and responsibilities to personnel at a different location should emergency events render leadership or staff unavailable to support the execution of **[Agency Name]**'s essential functions. If deployment of essential employees is not feasible due to the unavailability of personnel, temporary leadership of the **[Agency Name]** will devolve to **[insert office name and location]**.

The **[Insert office/title]** maintains responsibility for ensuring the currency of the **[Agency Name]** devolution plan. The **[Agency Name]** devolution plan:

- Includes the elements of a viable continuity capability: program plans and procedures, budgeting and acquisitions, essential functions, orders of succession and delegations of authority specific to the devolution site, interoperable communications, Essential Records management, staff, TT&E, and reconstitution. The **[Agency Name]** devolution plan is located at **[insert location, insert devolution plan below, or insert the applicable plan appendix for devolution]**.
- Identifies prioritized essential functions, defines tasks that support those essential functions, and determines the necessary resources to facilitate those functions. The list of prioritized essential functions for devolution is found at **[insert location]**.

- Includes a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and have the authority to perform essential functions and activities when the devolution option of the Continuity of Operations Plan is activated. The devolution personnel roster is found at **[insert location]**.
- Identifies what would likely activate or “trigger” the devolution option and specifies how and when control and direction of the **[Agency Name]** operations will be transferred to and from the devolution site. Devolution activation protocols or “triggers” are found at **[insert location or insert below]**.
- Lists or references the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of and performance of essential functions at the devolution site. The list of necessary resources for devolution is found at **[insert location]**.
- Establishes and maintains reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. The **[insert office/title]** is responsible for acquiring resources during a devolution situation. Acquisition processes and procedures are found **[insert location]**.
- Establishes and maintains a capability to restore or reconstitute the **[Agency Name]** authorities to their pre-event status upon termination of devolution.

**[Agency Name]** conducts and documents annual training of devolution staff and a biennial exercise to ensure essential functions are capable of being performed during devolution. This documentation includes the dates of all TT&E events and names and titles of participating staff. The **[Agency Name]** devolution TT&E documentation is maintained by **[insert office/title]** and is found at **[insert location]**. Further, the **[Agency Name]** CAP supports the devolution program. The **[Agency Name]** CAP is maintained by **[insert office/title]** and CAP documentation is found at **[insert location]**.

## **1. PROCEDURES FOR EMERGENCY RELOCATION GROUP (DERG)**

*This section should identify those procedures and instructions on how the agency will devolve functions to the DERG at the Devolution site and detail the transition of responsibilities to the deployed ERG or DERG. Sample text for this section includes:*

The transition of Essential Functions to the DERG and the Devolution site is an important step and may be conducted with warning or without warning. **[Agency Name]** has taken the following steps to prepare in advance for devolving to the DERG at the Devolution site: **[outline steps, or state plan name and location where steps are outlined]**.

## **VIII. ASSIGNMENT OF RESPONSIBILITIES**

*This section should include additional delineation of continuity responsibilities of each key staff position. Sample text for this section is provided below.*

Key staff positions within the **[Agency Name]**, to include individual continuity members, those identified in the orders of succession and delegation of authority, the **[Agency Name]** Continuity Coordinator, continuity managers, and others possess additional continuity responsibilities. The responsibilities of these key essential employees are delineated **[insert location]**.

**SAMPLE**

*The following table shows examples of some continuity responsibilities.*

Position	Responsibilities
Director	<ul style="list-style-type: none"> <li>• Provide strategic leadership and overarching policy direction for the continuity program</li> <li>• Implement the Continuity of Operations Plan when necessary, or when directed by a higher authority</li> <li>• Update and promulgate orders of succession and delegations of authority</li> <li>• Ensure adequate funding is available for emergency operations</li> <li>• Ensure all agency components participate in continuity exercises</li> <li>• Update Continuity of Operations Plan annually</li> </ul>
Communications Manager	<ul style="list-style-type: none"> <li>• Update telephone rosters monthly</li> <li>• Conduct alert and notification tests</li> </ul>
Records Manager	<ul style="list-style-type: none"> <li>• Review status of Essential Records, files, and databases</li> </ul>
Training Manager	<ul style="list-style-type: none"> <li>• Develop and lead Continuity training</li> <li>• Plan Continuity exercises</li> </ul>
Essential employees	<ul style="list-style-type: none"> <li>• Be prepared to deploy and support agency essential functions in the event of Continuity of Operations Plan implementation</li> <li>• Provide current contact information to manager</li> <li>• Be familiar with continuity of operations planning and know individual roles and responsibilities in the event of Continuity of Operations Plan activation</li> <li>• Participate in continuity training and exercises as directed</li> <li>• Have a telework agreement for this position, if applicable</li> </ul>

**IX. DIRECTION, CONTROL, AND COORDINATION**

*This section should describe the framework for all devolution of control, direction, and coordination activities. Sample text for this section is provided below.*

During activation of the Continuity of Operations Plan, the **[Agency Head]** maintains responsibility for control and direction of the **[Agency Name]**. Should the **[Agency Head]** become unavailable or incapacitated; the agency will follow the directions laid out in **[Annex reference, Orders of Succession]** and **[Annex reference, Delegations of Authority]**.

The contents and procedures laid forth in this Continuity of Operations Plan are consistent with the direction found in CGC 1 and the plan is reviewed and vetted by **[insert offices here, such as main offices, subdivisions, and/or field offices]** to ensure vertical integration within the **[Agency Name]**.

**X. DISASTER INTELLIGENCE**

*This section should describe the required critical or essential information common to all continuity events. In general terms, it should identify the type of information needed, where it will come from,*

*who will use it, how it will be shared, the format it will be provided in, and when (time) the information will be needed. Sample text for this section is provided below.*

During a continuity event, the **[Agency Name]** will require the collection and dissemination of critical information. While specific incidents may create additional or specialized reporting requirements, the following table lists examples of the information that would be collected and reported regardless of incident type.

## **SAMPLE**

*The following table shows examples of some disaster intelligence collection requirements.*

<b>Information Element</b>	<b>Specific Requirements</b>	<b>Responsible Element</b>	<b>Deliverable</b>	<b>When Needed</b>	<b>Distribution</b>
Personnel Accountability	Account for all ERG and non-ERG employees  Account for all contract personnel	Human Resources Division	Reports  Briefings	Status updates hourly following Plan activation	<b>[Agency Head]</b>
Operational Status	Percent of ERG personnel arrived at site Ability to conduct each essential function	Continuity Manager Division Representatives	Situation briefings Situation reports	No later than 6 hours after plan activation, then hourly	<b>[Agency Head]</b>
Hazard Information	Threat details specific to the alternate work location	Response coordination center or emergency operations center	Situation briefings Situation reports	Two times per day at shift change	<b>[All Agency component/sub-component heads]</b>

## **XI. COMMUNICATIONS**

*This section should address communications systems needed to ensure connectivity during crisis and disaster conditions. The ability of an agency to execute its essential functions at its alternate work location(s) depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key agency leadership personnel, internal agency elements, other agencies, critical customers, and the public, during crisis and disaster conditions. Sample text for this section is provided below.*

The **[Agency Name]** has identified available and redundant critical communications systems that are located at the primary operating facility and alternate work location. Further, the **[Agency Name]** maintains fully capable continuity communications that support agency needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. In addition, the **[Agency Name]** maintains communications equipment for use by employees with disabilities and hearing impairment.

All **[Agency Name]**'s necessary and required communications and IT capabilities should be operational within 12 hours of continuity activation.

Additional detailed information on the **[Agency Name]**'s communications systems and requirements is found in **[Annex reference, Continuity Communications]**.

## **XII. BUDGETING AND ACQUISITION OF RESOURCES**

*The Budgeting and Acquisition section should identify the people, communications, facilities, infrastructure, and transportation requirements necessary to the successful implementation and management of an agency's continuity program. In addition, the agency should identify and provide funding and specific budgetary guidance and requirements for all levels of the agency, including subordinate components and state offices. This section aligns with the Administration, Finance, and Logistics section of the Comprehensive Preparedness Guide 101. Sample text for this section is provided below.*

The **[Agency Name]** budgets for and acquires those resources and capabilities essential to continuity operations. A copy of the continuity budget is found at **[insert location, office]**. Within this budget, the **[Agency Name]** budgets for continuity resources and capabilities in accordance with the **[Agency policy title(s)]** and other applicable directives and provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.

As part of the budget process, the **[Agency Name]** uses a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources. The risk management methodology used is **[insert methodology here]** and a copy of the risk management documents can be found **[insert location, office]**.

The **[Agency Name]** integrates the continuity budget with its long-term strategic plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the strategic plan is found at **[insert location]**.

For those contracts vital to the support of agency essential functions, the **[Agency Name]** has ensured contractor statements of work include the provision to provide staffing, services, and resources during emergency conditions. A list of vital contracts is found at **[insert location]** and maintained by the **[insert office/title]**. During an emergency situation, the **[insert office/title]** is responsible for oversight and handling of emergency work by contractors.

*For additional information on budgeting and acquisition of resources, see CGC I, Annex C.*

## **XIII. PROGRAM MANAGEMENT PLAN**

*Agencies should develop a Program Management Plan (PMP) that provides for the development, maintenance, and annual review of Continuity capabilities requiring an agency to consider: Essential Functions performance; short- and long-term goals/objectives for plans/procedures; issues, concerns, or potential obstacles to implementing their program and strategies for*

*addressing them; planning/TT&E activities and milestones for accomplishing; ERG members, infrastructure, communications, transportation, and other resources needed to support the program; budgetary requirements; risk management principles and primary and Alternate work location risk assessments to ensure appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences; geographic dispersion into the agency's normal daily operations; security strategies addressing personnel, physical, and information security to protect plans, personnel, facilities, and capabilities; and a CAP. For additional information, see CGC 1, Annex C.*

[Agency Name] has developed a Continuity PMP that provides for the development, maintenance, and annual review of Continuity capabilities. [Agency Name] integrates the Continuity budget with its PMP and links the budget directly to objectives and metrics set forth in that Plan. A copy of the PMP is found [location]. The PMP is found at [location].

## **XIV. PLAN DEVELOPMENT AND MAINTENANCE**

*This section should describe the process the agency uses to maintain the currency of the Continuity of Operations Plan. It identifies who is responsible for plan currency, how often the plan will be reviewed and updated, and describes the coordination process. Sample text for this section is provided below.*

The [Agency Name, office, title] is responsible for maintaining the [Agency Name] Continuity of Operations Plan.

The Continuity of Operations Plan, [Agency Name] essential functions, and supporting activities, will be reviewed by the [insert office name] and updated annually from the date of publication as part of the maintenance of continuity of operations plans and procedures. The [Office Name] is responsible for the annual plan review and update. In addition, the plan will be updated or modified when there significant agency or procedural changes or other events occur that impact continuity processes or procedures. Comments or suggestions for improving this plan may be provided to the [Office Name].

## **XV. AUTHORITIES AND REFERENCES**

*The key authorities and references on which the agency's continuity of operations plan is based should be listed here. Additional references maybe listed in Annex B. An example of typical authorities and references are listed below.*

- Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, May 2007
- Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, July 2013

- Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions)*, September 2013
- Emergency Management Accreditation Program, April 2013
- Federal Emergency Management Agency (FEMA) Continuity of Operations Planning Guidance
- FEMA Devolution Planning Guidance
- FEMA National Preparedness Directorate's Comprehensive Preparedness Guide 101, *Developing and Maintaining Emergency Operations Plans*, November 2010
- Ohio Administrative Code
- Ohio Revised Code
- Ohio Homeland Security Strategic Plan, Objective 4.10
- State of Ohio Continuity of Operations Planning Standards
- **[Enter title of agency policies or directives]**
- **[Enter titles of agency plan, guidance, etc.]**

## XVI. ANNEXES

The functional annexes that add specific information and direction to the base plan are discussed on the following pages. These annexes clearly describe the policies, processes, roles, and responsibilities that **[Agency Name]**'s carries out before, during, and after any emergency. While the base plan provides overarching information relevant to the COOP Plan as a whole, the annexes focus on specific responsibilities, tasks, and operational actions that pertain to the elements of a viable COOP plan and program according to CGC 1 and 2. These annexes also establish preparedness targets (e.g., training, exercises, equipment checks, and maintenance) that facilitate achieving function-related goals and objectives during emergencies and disasters.

### ANNEX IMPLEMENTING INSTRUCTIONS

*Implementing instructions may be included as attachments or referenced. Annex Implementing Instructions serve to provide additional information on sections presented in the Continuity of Operations Plan. Potential instructions include Operational Checklists: a simple tool that ensures all required tasks are accomplished, so that the agency can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task. Sample operational checklists may include:*

- Emergency Calling Directory*
- Emergency Relocation Group Checklist*
- Essential Functions Checklist*
- Continuity Site Acquisition Checklist*
- Emergency Operating Records*
- IT Checklist*
- Emergency Equipment Checklist*
- Delegations of Authority*
- Orders of Succession*
- Maps and directions to the Alternate work location and seating chart*

## ANNEX A. ESSENTIAL FUNCTIONS

*The essential functions section should include a list of the agency's prioritized Mission Essential Functions (MEFs). The Continuity of Operations Plan should identify the components, processes, and requirements that ensure the continued performance of the agency's essential functions. CGC 2 describes the process of identifying and prioritizing mission essential functions, conducting a business process analysis, conducting a business impact analysis, and developing risk mitigation strategies. Sample text for this section is provided below.*

The [Agency Name] has completed the MEF process as identified in CGC 2 to identify those functions that the [Agency Name] must continue.

### 1. STATE MISSION ESSENTIAL FUNCTIONS

The [Agency Name]'s MEFs are based on its mission and role in support of the continued performance of the State of Ohio's Mission Essential Functions (OHEFs). The State Mission Essential Functions, as listed below, represent responsibilities of State leaders to ensure the wellbeing of the citizens of Ohio.

<i>State of Ohio Essential Functions</i>
<b><i>OHEF 1: Maintain Civil Law and Order.</i></b> Focus: Maintain civil law and order in the state of Ohio, by preventing crime and protecting and defending the state, its people, and its critical infrastructure against attack.
<b><i>OHEF 2: Provide Essential Services to the Public.</i></b> Focus: Provide essential services that address the health and safety needs and public welfare of the state and its citizens, including but not limited to: firefighting, search and rescue, hazardous materials response, emergency management and disaster recovery, emergency medical services, healthcare, custodial care of institutionalized populations, as well as assistance in locating food and shelter.
<b><i>OHEF 3: Ensure Availability of Public Works.</i></b> Focus: Ensure the availability of communication infrastructure, drinking and potable water, environmental protection services, power, sanitation, and transportation networks
<b><i>OHEF 4: Ensure Continuity of Government.</i></b> Focus: Ensure the continued functioning of government by providing for succession to key positions, agency communications, management of operations, personnel accountability, and a visible leadership structure, while continuing to meet legal and/or statutory requirements
<b><i>OHEF 5: Ensure Economic Stability.</i></b> Focus: Protect Ohio's economy by providing for the solvency of government and the stability of financial institutions and systems.
<b><i>OHEF 6: Offer Resource and Logistical Support to Agencies.</i></b> Focus: Offer and provide resource and logistical support and assistance to federal, state, local, and their non-profit partners.

### 2. AGENCY MISSION ESSENTIAL FUNCTIONS

*Each agency should identify and prioritize their agency MEFs and ensure the continued performance of those MEFs. In general, the process for identifying MEFs at every level of*

*government is the same and is described in detail in CGC 2. Sample text for this section is provided below.*

Agency MEFs are a limited set of their agency functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. Using CGC 2 guidance, the **[Agency Name]** implemented the MEF identification process to identify and prioritize their agency MEFs. The **[Agency Name]**'s MEFs, as validated and approved by the **[enter agency approving official title]**, are listed below in priority order.

1. **[Insert agency MEF here].**
2. **[Insert agency MEF here].**
3. **[Insert agency MEF here].**
4. **[Insert agency MEF here].**
5. **[Insert agency MEF here].**
6. **[Insert agency MEF here].**

## ANNEX B. ESSENTIAL EMPLOYEES

Once MEFs are identified, the agency should determine the essential employee positions that are fully equipped and authorized to perform these functions. Position titles should be used rather than names since personnel change, but titles generally do not. Once these positions are identified, the agency should establish and maintain a POC roster of trained essential employees attached to the applicable positions. Rosters, at a minimum, should include names and home, work, and cellular telephone numbers, and work, home, and alternate email addresses as applicable. Text message carrier addresses may also want to be considered. In addition, agencies should identify replacement employees and augment, as necessary. Agencies should consider maintaining this roster separate from the COOP or as an annex due to the need for constant revision and for privacy concerns. Sample text for this section is provided below. For additional information on mission essential functions, see CGC 1, Annex D and CGC 2, Annex A. See CGC 1, Annex J for additional information on essential employee rosters.

In order to continue its essential functions, the [Agency Name] has determined the staff positions necessary to relocate under Continuity of Operations Plan activation. A copy of the current roster is found at [insert location]. The [Insert office/title] is responsible for maintaining roster currency and ensuring employees are matched against needed positions.

Each continuity member is selected by the [insert office/title] based upon:

- The predetermined essential functions that must be performed, regardless of the operational status of the [Agency Name]'s primary operating facility
- The member's knowledge and expertise in performing these essential functions
- The member's ability to rapidly deploy to the relocation site in an emergency situation

### SAMPLE

The following table shows an example of a partial essential employees roster.

Function	Title / Position	Name	Telephone Number	Additional Information
Function #1: Approve and oversee cleanup of contaminated sites.	Division Head, Enforcement and Remediation Division	John Smith	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other agency-required information, i.e. duty station and addresses
	Alternate: Deputy Division Head, Enforcement and Remediation Division	Jane Doe	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other agency-required information, i.e. duty station and addresses
	Chief, Enforcement Branch	Sally Dune	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other agency-required information, i.e. duty station and addresses
	Alternate: Deputy Chief, Enforcement Branch	Jim Rich	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other agency-required information, i.e. duty station and addresses

## ANNEX C. ESSENTIAL RECORDS

This section should address the Essential Records requirements needed to support MEFs during a continuity event. The identification, protection, and ready availability of Essential Records,

*databases, and hard copy documents needed to support MEFs under the full spectrum of all-hazard/threat emergencies are critical elements of a successful continuity of operations plan and program. Sample text for this section is provided below. For additional information on Essential Records management, see CGC 1, Annex I.*

The term “Essential Records” refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support MEFs during a continuity event. **[Agency Name]** has incorporated its Essential Records program into the overall continuity program, plans, and procedures.

The **[Agency Name]**’s Essential Records program incorporates into the overall continuity of operations plan with a clear authority to include:

- Policies
- Authorities
- Procedures
- The written designation of the **[Agency Name]** Essential Records manager

The **[Agency Name]**’s official Essential Records program:

- Identifies and protects those records that specify how the agency will operate in an emergency or disaster
- Identifies those records necessary to the agency’s continuing operations
- Identifies those records needed to protect the legal and financial rights of the agency

Within 12 hours of activation, essential employees at the alternate work location for the **[Agency Name]** should have access to the appropriate media for accessing Essential Records, including:

- A local area network
- Electronic versions of Essential Records
- Supporting information systems and data
- Internal and external email and email archives
- Paper copies of Essential Records
- **[Insert any other media here]**

## 1. IDENTIFICATION

The **[Agency Name]** has identified the following as vital to its operations, and has assigned responsibility for those records to the **[insert personnel or office here]**, which includes a combination of essential employees, personnel in the **[insert division/office title here]**, and records management personnel.

**[Agency Name]** maintains a complete inventory of Essential Records, along with the locations of and instructions on accessing those records. These records are located at **[insert location/ office]**. This inventory will be maintained at a back-up/offsite location located at **[insert location(s) here]**

by **[insert office]** to ensure continuity if the primary operating facility is damaged, destroyed, or unavailable.

The **[Insert office]** developed and maintains an Essential Records plan packet or collection located at **[insert location/office]**. The packet or collection includes:

- A paper copy or electronic list of the **[Agency Name]** key agency personnel and essential employees with up-to-date telephone numbers
- A Essential Records inventory with the precise locations of Essential Records prepared by the **[insert office]**
- Updates to the Essential Records
- Necessary keys or access codes
- Listing of the access requirements and sources of equipment necessary to access the records
- The **[Agency Name]** alternate work location locations
- Lists of records recovery experts and vendors provided by the **[insert office]** and located at **[insert location]**
- A copy of the **[Agency Name]** continuity of operations plans
- **[Insert any other documents included in the packet here]**

For the above items, the **[insert office]** is responsible for providing access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines). These requirements and lists are found at the **[insert location/office]**.

This packet will be reviewed annually by the **[insert office]** with the date and names of the personnel conducting the review documented in writing to ensure that the information is current. A copy will be securely maintained at the **[Agency Name]** alternate work locations and **[insert any other locations here]**, so it is easily accessible to appropriate personnel when needed.

## 2. PROTECTION

The protection of Essential Records is essential to ensuring the records are available during a continuity event, thus enabling an agency to perform their MEFs. The **[Agency Name]** has conducted an Essential Records and database risk assessment to:

- Identify the risks involved if Essential Records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed
- Identify offsite storage locations and requirements
- Determine if alternative storage media are available
- Determine requirements to duplicate records and provide alternate storage locations to provide readily available Essential Records under all conditions

The Essential Records and database risk assessment was performed by the **[insert office]** and is located at **[insert location]**.

Appropriate protections for Essential Records will be provided by the **[insert office]** and will include dispersing those records to other agency locations or storing those records offsite. Other

protections include **[insert additional protections here, including multiple redundant media for storage]**.

When determining and selecting protection methods, the **[Agency Name]** takes into account the specific protections needed by different kinds of storage media. Microforms, paper photographs, computer disks, tapes, and drives all require different methods of protection. Some of these media also may require equipment to facilitate access.

### 3. TRAINING AND MAINTENANCE

The **[Agency Name]** Essential Records program includes a training program conducted by the **[insert office]** for all staff, to include periodic briefings to managers about the Essential Records program and its relationship to their Essential Records and business needs. The **[Agency Name]** staff training focuses on identifying, inventorying, protecting, storing, accessing, and updating the Essential Records. Training records for Essential Records are maintained by the **[insert office]** and are found at **[insert location]**.

The **[Agency Name]** Essential Records program includes an annual review of the program to address new security issues, identify problem areas, update information, and incorporate any additional Essential Records generated by new agency programs or functions or by agency changes to existing programs or functions. The review is conducted by the **[insert office]**. The review provides an opportunity to familiarize staff with all aspects of the Essential Records program. It is appropriate to conduct a review of the Essential Records program in conjunction with the **[Agency Name]** continuity exercises. Documents confirming review of the Essential Records program are maintained by the **[insert office]** and are found at **[insert location]**. At a minimum, **[Agency Name]** Essential Records are annually reviewed, rotated, or cycled so that the latest versions will be available.

The **[Agency Name]** conducts annual testing, documented in the **[Agency Name]** testing records, of the capabilities for protecting classified and unclassified Essential Records and for providing access to them from the alternate work location. Testing records for Essential Records are maintained by the **[insert office]** and are found at **[insert location]**.

#### SAMPLE

*The following table shows examples of Essential Records, files, and databases.*

Essential Record, File or Database	Support to Essential Function	Form of Record (e.g., Hardcopy, Electronic)	Pre-Positioned @ Alternate work location	Hand Carried to Alternate work location	Multiple Storage Location(s) Y/N	Maintenance Frequency
Mapping Database	Function #1	Electronic	X		Y	Monthly
Licensed Spill Cleanup Contractors List	Function #1 & #	Hardcopy		X	N	Quarterly
Regional Dams List	Function #2	Hardcopy		X	N	Annually
Pollution / Chemical	Function #3 & #4	Electronic	X		N	Monthly

Incident Database						
Public and Private Sewage System Records	Function #3, 4, & 5	Electronic	X		Y	Quarterly

## ANNEX D. ALTERNATE WORK LOCATION(S)

*All agencies should identify and maintain at least one alternate work location, which could include alternate uses of existing facilities or virtual office options, for the relocation of a limited number of the agency's key leaders and staff, located where the potential disruption of the agency's ability to initiate and sustain operations is minimized. This section should explain the significance of identifying an alternate work location, the requirements for determining an alternate work location, and the advantages and disadvantages of each location. Sample text for this section is provided below. For additional information on alternate work locations, see CGC 1, Annex G.*

### 1. GENERAL INFORMATION

The **[Agency Name]** has designated alternate work location(s) as part of its Continuity of Operations Plan and has prepared essential employees for the possibility of unannounced relocation to the site(s) to continue performance of essential functions

The **[Agency Name]** **[does/does not]** maintain MOAs/MOUs and reviews the MOAs/MOUs annually, as applicable.

*If MOAs/MOUs are necessary, include the following in your plan:*

An MOA/MOU is necessary because the **[Agency Name]** is **[list reasons, e.g. co-located with another agency]**. A copy of the MOA/MOU is found at **[insert location]** and maintained by the **[insert office name]**.

The **[Agency Name]** alternate work location is located at **[facility name and address]**. A map of the surrounding area, including directions and route from the primary operating facility, is located at **[below/list location]**. Additional facility details are as follows:

- (1) This facility is **[rented/owned]** by the **[Agency Name]**.
- (2) **[Important contact information for the site, including security, medical, and on-site personnel]**
- (3) **[Security and access requirements]**
- (4) **[Medical support at or near the site]**
- (5) **[Other amenities available at or near the site, including restaurants, stores, banks, and gas stations]**

The **[Agency Name]** alternate work location(s) provide the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

- (1) Space and equipment, including computer equipment and software. The alternate work location is able to accommodate **[insert number]** personnel. Facilities floor plans, equipment inventory, and **[insert other applicable documents]** are found at **[insert location]**.
- (2) Capability to perform MEFs within 12 hours of plan activation for up to 30 days or until normal operations can be resumed.
- (3) Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[insert location]** from the **[insert office or personnel name]**.
- (4) Consideration for health, safety, security, and emotional well-being of personnel. Considerations available at the alternate work location include **[insert considerations]**,

such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security].

- (5) Interoperable communications for effective interaction. Additional information on continuity communications is found [insert location] in this plan.
- (6) Capabilities to access and use Essential Records. Additional information on accessing Essential Records is found at [insert location] in this plan.
- (7) Systems and configurations that are used in daily activities. IT support at the alternate work location is [insert access to IT support]. Details on the systems and configurations are available at [insert location] from the [insert office or personnel name].
- (8) Emergency/back-up power capability. Details on the power capability are available at [insert location] from the [insert office or personnel name].

*Repeat this information for each alternate work location used by your agency.*

## 2. LOGISTICS

The [Agency Name]'s alternate work locations maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. These site preparation and activation plans are [detailed below or insert document name and location].

The [Agency Name] maintains a transportation support plan that describes procedures for no-warning and with-warning events.

- During a no-warning event, advance team and essential employees are transported to the alternate work location via [enter means of transportation, rally points, means of notification, back-up transportation methods and any other necessary information].
- During a with-warning event, advance team and essential employees are transported to the alternate work location via [enter means of transportation, rally points, means of notification, back-up transportation methods and any other necessary information].

The [Agency Name] has addressed the need for housing to support essential employees at or near the alternate work location by [insert housing options, such as on-site housing, a list of nearby hotels, and MOA/MOUs with nearby lodging].

## 3. ORIENTATION

The [Agency Name] regularly familiarizes its essential employees with its alternate work locations. The [Agency Name] accomplishes this orientation through [insert means of orientation, such as deployment exercises, orientation sessions at the site, and briefings]. This familiarization training is reflected in agency training records located at [insert location].

Further, the [Agency Name] annually trains and prepares its ERG personnel for the possibility of an unannounced relocation to all alternate work locations. This training is reflected in agency training records located at [insert location].

## 4. MEMORANDUM(S) OF UNDERSTANDING (MOU)

The following page contains a copy(s) of the MOU executed between [Agency Name] and [Alternate Work Location Owner].

*To follow is a sample MOU that may be used to document the agreement between your agency and the parent organization of the alternate work location. Please consult your agency's legal department to complete your agency's AWL MOU. Complete an MOU for each AWL identified by your agency.*

***SAMPLE AWL MOU***

**MEMORANDUM OF UNDERSTANDING**

**BETWEEN**

**<AGENCY>, <OFFICE OF (IF APPLICABLE)>**

**AND**

**<ORGANIZATION>, <FACILITY (IF APPLICABLE)>**

**I. PURPOSE**

The purpose of this Memorandum of Understanding (MOU) between the State of Ohio, <AGENCY> and <ALTERNATE WORK LOCATION OWNER> sets forth the responsibilities of each of the organizations listed above in case use of the <AWL OWNER's> facility is need for use as the <AGENCY's> alternate work location in the event the <AGENCY's> Continuity of Operations (COOP) plan is activated.

**II. BACKGROUND**

In accordance with the National Security Presidential Directive (NSPD)-51, Homeland Security Presidential Directive (HSPD)-20, Federal Emergency Management Agency (FEMA) Continuity Guidance Circular (CGC)-1 all agencies must designate alternate work locations as part of their COOP plans and prepare their employees for the possibility of unannounced relocation of essential functions and/or essential employees to these facilities should an event necessitate such action. CGC-1 advises that these facilities should be identified from the agency's existing local or field infrastructures or external sources, and should be capable of supporting emergency operations in a secure environment, as determined by the geographical location of the facility, a favorable assessment risk assessment of the location, and/or the physical characteristics of the facility.

This MOU creates an agreement which will delineate responsibilities between and the State of Ohio, <AGENCY> and the <ALTERNATE WORK LOCATION OWNER> during the use of the alternate work location. This agreement allows for each party to review the MOU annually and makes changes as applicable.

**III. AUTHORITY**

This agreement is executed under the authority of the National Security Presidential Directive (NSPD)-51 and Homeland Security Presidential Directive (HSPD)-20, dated May 9, 2007; the

Federal Emergency Management Agency (FEMA) Continuity Guidance Circular (CGC)-1, dated July 1, 2013; and Ohio Homeland Security Strategic Plan, dated September 1, 2013.

#### IV. OBJECTIVES

- A. Ensure that <AGENCY> has a facility from which it may continue to perform the agency's essential functions during an emergency event.
- B. Reduce or mitigate disruptions to operations.
- C. Achieve a timely and orderly recovery from an event and resumption of full service to customers.

#### V. RESPONSIBILITIES

##### A. <AGENCY>

- 1. **Funding allocation:** *Identify the source of funding and annotate items which the agency will be responsible to pay, including spending limitation.*
- 2. **Communication support:** *Identify what communication support equipment the AGENCY is responsible to provide at the alternate facility.*
- 3. **Life Support (i.e. food, medical):** *Identify what life support material the AGENCY is responsible to provide at the alternate facility.*
- 4. **Lodging:** *Identify, if needed, any alternate lodging arrangements for AGENCY employees while working at the alternate work location.*
- 5. **Transportation:** *If the AGENCY is responsible for providing transportation to and from the alternate work location, identify the means to which workers will be transported to and from the alternate facility.*

##### B. <ALTERNATE WORK LOCATION OWNER>

- 1. **Space allocation:** *(Space and services to be provided)*
- 2. **Communication support:** *(Identify the communication equipment that the alternate facility is required to provide. Communications at the alternate facility is required to be consistent with your agency COOP staffing plan during any event).*
- 3. **Security:** *(Alternate facilities must provide physical security that meets all requirements established by annual threat assessments and physical security surveys conducted by the agency's security office, the Federal Protective Service, or a qualified contractor. Required physical security capabilities must be tested/exercised annually and be in place within 12 hours of COOP plan activation.)*
- 4. **Life support (i.e. water, sewage, sanitation, power):** *(Identify the life support functions that the alternate facility is responsible for while the alternate facility is activated.)*

#### VI. TERM

This MOU will take effect on the date of signature of both parties, and will remain in effect for one year, at which time it may be renewed by the mutual agreement of <AGENCY> and <ALTERNATE WORK LOCATION>.

#### VII. AMENDMENT

This MOU may be amended in writing at any time by the mutual agreement of the <AGENCY HEAD> of the <AGENCY> and the designee of the <ALTERNATE WORK LOCATION OWNER>.

VIII. TERMINATION

Either the <AGENCY> or the <ALTERNATE WORK LOCATION> may terminate this MOU upon 90 days of receipt of advanced written notice.

IX. SCOPE

Nothing in this MOU shall be construed to limit or otherwise affect the independent powers and operations of <AGENCY>. Similarly, nothing in this understanding shall be construed to interfere with the management, policies, or operations established by <ALTERNATE WORK LOCATION OWNER>.

X. POINTS OF CONTACT AND BINDING SIGNATURES

Points of contact for this MOU are listed below.

For <AGENCY>:

John Doe  
State of Ohio, <AGENCY>  
123 Any St.  
Town, ST 12345  
(987) 654-3210  
[John.Doe@agency.gov](mailto:John.Doe@agency.gov)

For <AWL OWNER>:

Jane Smith  
AWL OWNER  
345 Your Rd.  
City, ST 67890  
(123) 456-7890  
[Jane.Smith@organization.com](mailto:Jane.Smith@organization.com)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## ANNEX E. CONTINUITY COMMUNICATIONS

*This section should address communications systems needed to ensure connectivity during crisis and disaster conditions. The ability of an agency to execute its essential functions at its alternate work location depends on the identification, availability, and redundancy of critical communications and IT systems to support connectivity among key State, territorial, tribal, and local leadership personnel, internal agency elements, other agencies, critical customers, and the public during crisis and disaster conditions. Sample text for this section is provided below.*

The **[Agency Name]** has identified available and redundant critical communication systems at the alternate work location. Further, the **[Agency Name]** maintains fully capable continuity communications that could support agency needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. These systems provide the ability to communicate within and outside the agency and are found at **[insert location]**.

### SAMPLE

*The following table shows an example of tracking modes of communication systems that support an agency's essential functions.*

Communication System	Support Essential Function to	Current Provider	Specifications	Alternate Provider	Special Notes
Non-Secure Phones					
Secure Phones					
Fax Lines					
Cellular Phones					
Satellite					
Pagers					
Email					
Internet Access					
Data Lines					
Two-way Radios					
GETS Cards					
[Insert other options here]					

All **[Agency Name]**'s necessary and required communications and IT capabilities should be operational within 12 hours of activation.

The **[Agency Name]** possesses communications capabilities to support the agency's senior leadership while they are in transit to alternate work locations. These capabilities are maintained by the **[insert office/title]** and documentation regarding these communications capabilities is found at **[insert location or list capabilities below]**.

*For additional information on continuity communications, see CGC 1, Annex H.*

## ANNEX F. LEADERSHIP AND STAFF

*This section should outline the plans, procedures, and policies to safeguard and protect leadership and staff, including orders of succession, delegations of authority, and human resources. The National Continuity Policy Implementation Plan lists leadership and staff as two of the four key pillars that enable agencies to perform its essential functions.*

### 1. ORDERS OF SUCCESSION

*This section should identify current orders of succession to the agency head and key positions, such as administrators, directors, and key managers. Revisions should be distributed to agency personnel as changes occur. Sample text for this section is provided below. For additional information on succession, see CGC 1, Annex E.*

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority. The [Agency Name] has identified successors for the positions of **[insert leadership positions requiring orders of succession, including the agency head and other key positions]**. A copy of these orders of succession is found at **[insert location]**. The **[Insert office/title]** is responsible for ensuring orders of succession are up-to-date. When changes occur, the **[insert office/title]** distributes the changes to **[insert offices/groups]** by **[insert method of distribution]**.

The [Agency Name]'s orders of succession are:

- At least three positions deep, where possible, ensuring sufficient depth to ensure the [Agency Name]'s ability to manage and direct its essential functions and operations
- Include devolution counterparts, where applicable
- Geographically dispersed, where feasible
- Described by positions or titles, rather than by names of individuals holding those offices
- Reviewed by the agency's legal department as changes occur
- Included as an essential record, with copies accessible and/or available at both the primary operating facility and alternate work locations at **[insert locations]**

### SAMPLE

*The following table shows the order of succession for the Director of the Bureau of Water Management.*

Position	Designated Successors
Director, Bureau of Water Management	1. Deputy Director, Bureau of Water Management
	2. Division Head, Enforcement and Remediation Division
	3. Division Head, Standards and Planning Division

In addition, each order of succession identifies the rules and procedures designated officials should follow when facing issues of succession to office during continuity events and reference applicable laws and agency policies.

- **[List any temporal, geographical, and/or agency limitations to the authorities in the orders of succession here]**

In the event of a change in leadership status, the **[Agency Name]** must notify the successors, as well as internal and external stakeholders. In the event the **[Agency Name]** leadership becomes unreachable or incapable of performing their authorized legal duties, roles, and responsibilities, the **[insert office/title]** will initiate a notification of the next successor in line. **[Insert additional methods and procedures of notification here]**. The **[Insert office/title]** will use the following procedures to notify internal and external stakeholders of the change in leadership: **[Insert notification procedures here]**.

The **[Agency Name]** training records document the annual successor training for all personnel who assume the authority and responsibility of the agency's leadership to include briefing successors to the position of the **[Agency Head]** on their responsibilities and duties as a successor. Methods of successor training include **[insert training methods here]**. This training is reflected in the **[Agency Name]** training records located at **[insert location]**.

## 2. DELEGATIONS OF AUTHORITY

*This section should identify, by position, the legal authority for individuals to make key policy decisions during a continuity event. An agency delegation of authority should describe explicitly the authority of an official so designated to exercise agency direction. Sample text for this section is provided below. For additional information on delegations of authority, see CGC 1, Annex F.*

Generally, the **[Agency Name]** pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Pre-determined delegations of authority may be particularly important in a devolution scenario.

The **[Agency Name]** has identified the following delegations of authority:

- Orderly succession of officials to the position of **[Agency Head]** in the case of the **[Agency Head]**'s absence, a vacancy at that office, or the inability of the **[Agency Head]** to act during an emergency or national security emergency. The delegation of authority for the **[Agency Head]** is found in the Hazard Specific Appendices.
- **[Insert additional delegations of authority here]**

The **[Agency Name]**'s delegations of authorities are found at the alternate work location and at **[insert location]** and:

- (1) Are included as Essential Records
- (2) Are written in accordance with applicable laws and agency policy ensuring that the agency's MEFs are performed
- (3) Outline explicitly in a statement the authority of an official to re-delegate functions and activities, as appropriate
- (4) Delineate the limits of and any exceptions to the authority and accountability for officials
- (5) Define the circumstances, to include a devolution situation if applicable, under which delegations of authorities would take effect and would be terminated

The **[Agency Name]** has informed those officials who might be expected to assume authorities during a continuity situation. Documentation that this has occurred is found at **[insert location]** and at the alternate work location. Further, the **[Agency Name]** has trained those officials who might be expected to assume authorities during a continuity situation at least annually for all pre-delegated authorities for making policy determinations and all levels using **[insert training methods here]**. This training is reflected in agency training records located at **[insert location]**.

**SAMPLE: Delegation of Authority**

**[Agency Name]**

Delegation Number: **[Number]**

Issue Date: **[Date]**

DELEGATION OF AUTHORITY  
AND SUCCESSION FOR THE  
**[Insert title of agency head]**

**PURPOSE**

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at the **[Agency Name]** to the Office of the **[insert title of agency head]** in case of the **[Agency Head]**'s absence, a vacancy at that office, or the inability of the **[Agency Head]** to act during a disaster or national security emergency.

**DELEGATION**

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the **[insert title of agency head]**, in case of my absence, inability to perform, or vacancy of the office, and until that condition ceases.

**1. [Insert order of succession here]**

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the **[insert title of agency head]**, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the **[insert title of agency head]** shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible. Persons appointed on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

**AUTHORITIES**

**[Insert title of agency policy or directive]**

**[Insert title of agency policy or directive]**

**OFFICE OF PRIMARY INTEREST**

The Office of the **[insert title of agency head]** is the office of primary interest in this delegation.

**CANCELLATION**

**[Insert previous delegation of authority]** to Office of the **[insert title of agency head]** is hereby rescinded.

**[Agency Head signs here]**  
**[Enter Agency Head's name here]**  
**[Enter Agency Head's title here]**  
**[Enter Agency Name here]**  
**[Enter date here]**

**[Legal Counsel signs here]**  
**[Enter Legal Counsel's name here]**  
**[Enter Legal Counsel's title here]**  
**[Enter Agency Name here]**  
**[Enter date here]**

## ANNEX G. HUMAN RESOURCES

*This section should focus on the agency's essential employees and all other special categories of employees who have not been designated as essential employees. This section should concentrate on three areas: Essential Employees, All Staff, and Human Resources Considerations. Sample text for this section is provided below. For additional information on Human Resources, see CGC 1, Annex J.*

### 1. ESSENTIAL EMPLOYEES

People are critical to the operations of any agency. Selecting the right people for an agency's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated by the **[Agency Name]** to perform assigned response duties. One of these categories is essential employees. In respect to essential employees, the **[Agency Name]** has:

- Identified and designated those positions and personnel they judge to be critical to agency operations in any given emergency situation as essential employees. A roster of continuity positions is maintained by the **[insert office/title]** and is found at **[insert location]**
- Identified and documented its essential employees. Essential employees possess the skills necessary to perform essential functions and supporting tasks. A roster of essential employees is maintained by **[insert office/title]** and is found at **[insert location]**
- Officially informed all essential employees of their roles or designations by providing documentation in the form of **[insert type of documentation here]** to ensure that essential employees know and accept their roles and responsibilities. Copies of this documentation is maintained by the **[insert office/title]** and found at **[insert location]**
- Ensured essential employees participate in the agency's continuity TT&E program, as reflected in training records. Training records are maintained by the **[insert office/title]** and found at **[insert location]**
- Provided guidance to essential employees on individual preparedness measures they should take to ensure response to a continuity event using **[insert methods of providing guidance here]**. Copies of this guidance is maintained by the **[insert office/title]** and found at **[insert location]**

### 2. ALL STAFF

It is important that the **[Agency Name]** keeps all staff, especially individuals not identified as essential employees, informed and accounted for during a continuity event. The **[Agency Name]** has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

- The **[Agency Name]**'s employees are expected to remain in contact with the **[insert office/title, such as supervisors]** during any facility closure or relocation situation. **[Insert**

**procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation]**

- The [Agency Name] ensures staff are aware of and familiar with Human Resources guidance in order to continue essential functions during an emergency. The [Agency Name] uses the following methods to increase awareness: **[Insert methods here, such as utilizing an intranet website or employee orientation briefing].**

Accounting for all personnel during a continuity event is of utmost importance. In order to account for all staff, the [Agency Name] will **[insert accountability process here, such as call trees, an automated system, a 1-800 number, etc.]**. Accountability information is reported to the **[insert office/title]** at **[insert number]** hour increments. The **[Insert office]** has the responsibility of attempting contact with those individuals who are unaccounted for.

An event that requires the activation of the Continuity of Operations Plan may personally affect the [Agency Name] staff. Therefore, the **[insert office]** has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special Human Resources concerns following a catastrophic disaster. These provisions and procedures are found at **[insert location]**.

### 3. SPECIAL CONSIDERATIONS

The [Agency Name] continuity program, plans, and procedures incorporate existing agency-specific guidance and direction for human resources management, including guidance on pay, leave/time off, work scheduling, benefits, telework, hiring, authorities, and flexibilities. The **[insert office]** has the responsibility for the [Agency Name] human resources issues. A copy of these policies and guidance is found **[insert location]**.

The [Agency Name] Continuity Coordinator and Continuity Manager work closely with the **[insert appropriate Human Resources office/title here]** to resolve human resources issues related to a continuity event. The **[Insert office/title]** serves as the [Agency Name] Human Resources liaison to work with the Continuity Coordinator or Continuity Manager when developing or updating the agency's emergency plans.

The [Agency Name] has developed agency-specific guidance and direction for essential employees on human resources issues. This guidance is integrated with Human Resources procedures for its facility, geographic region, and the Office of Personnel Management or similar agency. This guidance is maintained by the **[insert office/title]** and found at **[insert location]**. The [Agency Name] has issued continuity guidance for human resources on the following issues:

- Additional Staffing: **[Insert guidance here or location of guidance]**
- Work Schedules and Leave/Time Off: **[Insert guidance here or location of guidance]**
- Employee Assistance Program: **[Insert guidance here or location of guidance]**
- Special Needs Employees: **[Insert guidance here or location of guidance]**
- Telework: **[Insert guidance here or location of guidance]**
- Benefits: **[Insert guidance here or location of guidance]**

- Premium and Annual Pay Limitations: **[Insert guidance here or location of guidance]**
- **[Insert additional topics here]**

Further, the **[insert office/title]** communicates Human Resources guidance for emergencies (pay, leave/time off, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency. The process for communicating this information is as follows: **[Insert communication methods and processes here]**.

## ANNEX H. TEST, TRAINING, AND EXERCISES PROGRAM

*This section should focus on the agency's TT&E program. All agencies should develop and maintain a continuity TT&E program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continued performance of their MEFs. Sample text for this section is provided below.*

The [Agency Name] has established an effective TT&E program to support the agency's preparedness and validate the continuity capabilities, program, and ability to perform essential functions during any emergency. The testing, training, and exercising of continuity capabilities are essential to demonstrating, assessing, and improving the [Agency Name]'s ability to execute the continuity program, plans, and procedures.

- Training familiarizes essential employees with their roles and responsibilities in support of the performance of an agency's essential functions during a continuity event.
- Tests and exercises serve to assess, validate, or identify for subsequent correction, all components of continuity of operations plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.

In accordance with CGC 1 guidance, the [Agency Name] performs TT&E events at regular intervals, as shown in the table below.

*Note: In your agency's plan, change the checkmarks to the actual dates of the TT&E event for your agency.*

Continuity TT&E Responsibility	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems	X			
Test alert, notification, and activation procedures for all essential employees		X		
Test primary and back-up infrastructure systems and services at alternate work locations			X	
Test capabilities to perform essential functions			X	
Test plans for recovering Essential Records, critical information systems, services, and data			X	
Test and exercise of required physical security capabilities at alternate work locations			X	
Test internal and external interdependencies with respect to performance of essential functions			X	

Train essential employees on roles and responsibilities			X	
Conduct continuity awareness briefings or orientation for the entire workforce			X	
Train agency's leadership on essential functions			X	
Train personnel on all reconstitution plans and procedures			X	
Allow opportunity for essential employees to demonstrate familiarity with continuity of operations plans and procedures and demonstrate agency's capability to continue essential functions			X	
Conduct exercise that incorporates the deliberate and preplanned movement of essential employees to alternate work locations			X	
Conduct assessment of agency's continuity TT&E programs and continuity of operations plans and programs			X	
Report findings of all annual assessments to the <b>[insert office/position title]</b>			X	
Conduct successor training for all agency personnel who assume the authority and responsibility of the agency's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation			X	
Train on the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation for all staff involved in the Essential Records program			X	
Test capabilities for protecting classified and unclassified Essential Records and for providing access to them from the alternate work location			X	
Train on an agency's devolution option for continuity, addressing how the agency will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency			X	
Conduct personnel briefings on continuity of operations plans that involve using or relocating to alternate work locations, existing facilities, or virtual offices				X
Allow opportunity to demonstrate intra- and interagency continuity communications capability				X
Allow opportunity to demonstrate back-up data and records required for supporting essential functions at				X

alternate work locations are sufficient, complete, and current				
Allow opportunity for essential employees to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities				X
Allow opportunity for essential employees to demonstrate their familiarity with agency devolution procedures				X

The **[Agency Name]** formally documents and reports all conducted continuity TT&E events, including the event date, type, and participants. Documentation also includes test results, feedback forms, participant questionnaires, and other documents resulting from the event. Continuity TT&E documentation for the **[Agency Name]** is managed by the **[insert office/title]** and is found at **[insert location]**. Further, the **[Agency Name]** conducts a comprehensive debriefing or hot-wash after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and recommend revisions to the agency's continuity of operations plan. Documentation from TT&E hot-washes is found **[insert location]**.

#### **SAMPLE: TT&E Documentation**

*The following table shows possible documentation for a TT&E event.*

Alternate work location Communications Check	Test and validate equipment to ensure internal and external interoperability and viability of communications systems	August 1, 20XX	<b>[insert signature]</b>
<b>Participants</b>	<b>Office</b>	<b>Phone / Email</b>	
Jane Doe	Office of the Director	222-222-2222 jane.doe@agency.gov	/s/ Jane Doe
Jon Smith	Human Resources	222-222-2222 Jon.smith@agency.gov	/s/ Jane Doe

The **[Agency Name]** has developed a CAP to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. The **[Agency Name]** CAP incorporates evaluations, AARs, and lessons learned from a cycle of events into the development and implementation of its CAP. The

**[Agency Name]** CAP is maintained by the **[insert office/title]** and documentation is found at **[insert location]**.

#### **SAMPLE: Corrective Action Program**

*The following table shows possible documentation for a CAP entry for a TT&E event.*

Capability	Observation	Recommendation	Corrective Action	Capability Element	Primary Responsible Office	Agency POC	Start Date	End Date
Planning	Agency did not conduct a hot-wash following March 20xx exercise.	Agency should conduct hot-washes in order to allow participants to provide suggestions on areas of strengths and weaknesses.	Exercise director will plan and execute hotwash after December 20xx exercise and incorporate comments into AAR.	Planning	<b>[Organization Name]</b>	Exercise Director, Jon Doe, (111) 111-1111	3/XX/	3/XX/

*For additional information on TT&E, see CGC 1, Annex K. For information on the Homeland Security Exercise and Evaluation Program (HSEEP), see <https://hseep.dhs.gov>.*

## ANNEX I. RISK MANAGEMENT

*In this section, agencies should reference their risk assessment, to include a Business Impact Analysis, and risk operational plans, per CGC 1, Annex B, and CGC 2, Annex E, to summarize the hazards faced by their agency and the relative probability and impact of the hazards. In order to fully meet guidelines from CGC 1 and 2, agencies should integrate risk assessment and mitigation into Continuity programs.*

**[Agency Name]** applies a risk-based framework across all Continuity efforts in order to identify and assess potential hazards, determine what levels of relative risk are acceptable, and prioritize and allocate resources and budgets to ensure Continuity under all manner of incident conditions.

### 1. RISK ASSESSMENT

*Agencies should conduct and document a risk assessment, to include a Business Impact Analysis, against all hazards, conducted at least every five years. Per CGC1, Annex B, the assessment should include:*

- *Identification of potential, known risk, and the likelihood of its occurrence, which has direct impact on the ability of the agency to support the continuation of Essential Functions;*
- *An assessment of the vulnerability of the agency and its Essential Functions to identified hazards;*
- *An assessment of the impact of the failure of the identified Essential Functions caused by identified hazards;*
- *Identification of appropriate mitigation and protective measures, to include measures necessary during a pandemic influenza;*
- *A cost-benefit analysis of implementing risk mitigation, prevention, protection, or control measures; and*
- *An operational plan to provide and implement selected mitigation, prevention, protection, or control measures, to include those necessary during a pandemic.*

**[Agency Name]** has conducted and documented a risk assessment, to include a Business Impact Analysis, against all hazards for all capabilities associated with the continuance of Essential Functions, to include all primary operating facilities, Alternate work locations, personnel, systems, and records. The Risk Management point of contact is **[title of person responsible for Risk Management]**. The risk assessment is found at **[document name and location or insert risk assessment information]**. The Risk Assessment is updated at least every five years by **[title of person responsible for updating]**. Risk-specific appendices that address the results of the **[Agency Name]** risk assessment are found later in the plan.

### 2. RISK MITIGATION PLANS

*Agencies should develop operational plans to provide and implement selected mitigation measures, to decrease the threat of and impact from identified risks, to include pandemic, using the following process from CGC 2, Annex E:*

***Evaluate Risk Mitigation Requirements and Potential Options.*** *Each agency should review BIA results with leadership, starting with the MEFs having the greatest MEF risk value, and determine if risk mitigation is necessary. If risk values are high because a likely threat or hazard would have a devastating impact on MEF performance and the consequences would be severe, mitigating strategies should be evaluated. When developing mitigation strategies, avoid situations that may introduce new vulnerabilities. For example, it may not be a good idea to move the performance of a MEF from a facility in a flood zone to a facility next to a chemical processing plant.*

*Such strategies might include the following:*

- *Alternative procedures that reduce the vulnerability to threats or hazards;*
- *Additional backup systems and personnel;*
- *Enhanced Continuity of operations planning (Devolution plans);*
- *Additional telework flexibility; and,*
- *Additional suppliers.*

***Identify Risk Mitigation Options and Develop Risk Mitigation Plan.*** *Develop risk mitigation options that will reduce the overall risk of failure (there may be more than one option developed to reduce a single vulnerability). For each MEF vulnerability to be mitigated, the risk mitigation plan will address the key elements.*

*After implementation of the strategies, the agency monitors whether the implemented Risk Management treatments achieve desired goals and objectives, as well as whether risks facing an agency are changing. This can be done via exercises, through real-world experience, or through security vulnerability testing. A core element of the evaluation and monitoring phase involves using reporting on performance and results by developing concrete, realistic metrics.*

*It is critical agencies assign responsibility for monitoring and tracking effectiveness of Continuity efforts and evaluation methods are flexible and adaptable. Evaluating and monitoring implemented Risk Management strategies is similar to overall performance management of Continuity activities. The results of the monitoring step will inform subsequent iterations of the Risk Management Cycle.*

*The Risk Management Cycle involves a series of steps agencies can perform at different levels of detail with varying degrees of formality. The key to using this process to promote Continuity of Operations is completing each step in a way that provides accurate and adequate information to the decision maker so he or she can make informed decisions about how best to manage risks to Essential Functions and ensure Continuity.*

**[Agency Name]** has developed mitigation plans for specific risks identified in the Business Impact Analysis. These plans provide and implement selected mitigation, prevention, protection,

or control measures, to decrease the threat of and impact from identified risks, to include pandemic. The risk mitigation point of contact is **[title of responsible person]**. These risk mitigation plans can be found at **[document name and location or insert risk operational planning information]**.

**ANNEX J. ACRONYMS, TERMS, AND DEFINITIONS**

<b>Term/Acronym</b>	<b>Definition</b>
Activation	Once a Continuity of Operations plan has been implemented, whether in whole or in part, it is considered “activated.”
After-Action Report (AAR)	A document that reports a chronological timeline and observations of the incident and makes recommendations for post-incident improvement planning.
Agency	Any agency, department, board, or commission in the State of Ohio government
Agency Business Continuity Coordinators	Representatives of each State agency tasked with coordinating the agency’s COOP program.
Agency Leadership	The highest-ranking official of the agency, or a successor or designee who has been selected by that official. The designation as a successor enables an individual to act on behalf of leadership and exercise the powers and authorities of the official’s position, in the event of the official’s death, disability, or resignation.
Agency Mission Essential Function (MEF)	The limited set of agency-level mission essential functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.
All-hazards	The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.
Alternate Work Location (AWL)	Locations, other than the primary facility, used to carry out essential functions by relocating employees following activation of the continuity plan. Refers to not only other facilities and locations, but also work arrangements such as telework and mobile work concepts.
Business Continuity (BC)	An enterprise approach that ensures that all State agencies, departments, boards, and commissions will have viable continuity of operations (COOP) and continuity of government (COG) capabilities in place. This combined planning effort (COOP/COG) is referred to as business continuity.
Business Impact Analysis (BIA)	A method of identifying the effects of failing to perform a function or requirement.
Business Process Analysis (BPA)	A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent in the execution of a function or requirement.
Catastrophe/Catastrophic	Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.
Communications	Voice, video, and data capabilities that enable an agency’s leadership and staff to conduct the mission essential functions of the agency. Robust communications help ensure that leadership receives coordinated, integrated policy and operational advice and recommendations and will provide the ability for governments and the private sector to communicate internally and with other entities (including with other Federal, State, and Local agencies; the private sector; and citizens) as necessary to perform their mission essential functions.
Continuity	An uninterrupted ability to provide services and support, while maintaining organizational viability, before, during, and after an event.
Continuity Capability	The ability of an agency to continue to perform its mission essential functions, using State-identified Business Continuity programs and continuity requirements that have been integrated into the agency’s daily operations, with the primary goal of ensuring the preservation of government and the continuing performance of SEFs under all conditions. Building upon a foundation of continuity planning

	and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.
Continuity Communications	Communications that provide the capability to perform essential functions, in conjunction with other organizations until normal operations can be resumed.
Continuity of Government (COG)	A coordinated effort within the State of Ohio to ensure that the SEFs continue to be performed during a catastrophe.
Continuity of Operations (COOP)	An effort within individual agencies to ensure they can continue to perform their MEFs and PMEFs during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.
Continuity of Operations (COOP) Incident	Any event that causes an agency to relocate its operations to an AWL to assure continuance of its essential functions.
Continuity Program Management Cycle	An ongoing, cyclical model of planning, training, evaluating, and implementing corrective actions for continuity capabilities.
Corrective Action Plan (CAP)	A plan written after an AAR that allows agencies to analyze, plan for, document, and implement improvements in their continuity plans and programs.
Criterion	For the purpose of this document, criterion is defined as a rule.
Critical Infrastructure	An interdependent network of vital physical and information facilities, networks, and assets, including telecommunications, energy, financial services, water, and transportation sectors, that private business and the Government rely upon. Critical infrastructures are those systems and assets so vital that their incapacity or destruction would have a debilitating impact on the security of the State and/or the public health and/or safety of citizens.
Critical Infrastructure Protection (CIP)	Risk management actions intended to prevent a threat or threat agent from attempting to, or succeeding at, destroying or incapacitating critical infrastructures.
Delegations of Authority	Identification, by position, of the authorities for making policy determinations and decisions at all agency locations (e.g., HQ, field offices, satellite offices, etc.). Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.
Devolution	The capability to transfer statutory authority and responsibility for MEFs from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period of time.
Devolution of Control Appendix	Provides a structure and recommended content for developing a Devolution Plan.
Disaster Recovery Institute International (DRII)	A non-profit, internationally known organization that helps organizations spanning private and public sector prepare for and recover from disasters through thoughtful leadership, education, and accreditation.
Emergency Operations Center (EOC)	The physical location at which the coordination of information and resources to support incident management activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility.
Emergency Operations Plan (EOP)	A plan for responding to specific hazards (e.g., dam failure, flooding, wild fire, etc.). For the State of Ohio, the EOP is managed by the Ohio Department of Public Safety, Emergency Management Agency (EMA) and supported by 12 other State agencies.
<i>Emergency Operating Records</i>	Records that support the execution of an agency's essential functions.
<i>Emergency Relocation Group (ERG)</i>	Pre-designated staff that move to a relocation site to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident. The ERG is composed of an advance team plus emergency personnel.

<i>Emergency Relocation Group (ERG) Member</i>	A person who has been assigned responsibility to report to an alternate site, as required, to perform mission essential functions or other tasks related to continuity of operations.
<i>Emergency Relocation Group (ERG) Member Planning Guide</i>	<i>Provides</i> tools for developing ERG positional standard operating procedures to support continuity programs. ERG positional guides assist staff in understanding the key elements of performance in that position and allow business continuity coordinators access to positional requirements considered when preparing a business impact analysis of the agency's mission essential functions.
Essential Databases	Information systems that are needed to support essential functions during a continuity situation.
Essential Records	Electronic and hardcopy documents, references, databases, and records that are needed to support mission essential functions during a continuity situation. The two basic categories of essential records are (1) emergency operating records and (2) rights and interests records.
Essential Records Packet	A checklist that assists with the identification of, protection of, and readies availability of an agency's essential records.
Essential Resource	Resource(s) that support the organization's ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the Nation's industrial and economic bases during an emergency.
Exercise Appendices	A series of documents for agency's to follow in developing exercises that are compatible with the Homeland Security Exercise and Evaluation Program (HSEEP), meeting National Exercise Program requirements.
Facility(ies)	Locations where an organization's leadership and staff operate. Leadership and staff may be co-located in one facility or dispersed across many locations and connected by communications systems. Facilities should be able to provide staff with survivable protection and should enable continued and endurable operations.
Facility Degradation Appendix	Provides a structured action plan, listing steps taken by specific members of facility response teams in the event of a degraded facility.
Federal Emergency Management Agency (FEMA)	FEMA is an agency within the United States Department of Homeland Security, responsible for coordinating the response to a disaster that has occurred in the United States and has overwhelmed the resources of local and state authorities. The Governor must declare a state of emergency and formally request assistance from FEMA before the federal government may respond.
Full-scale Exercise	The most comprehensive type of test that may be performed by an agency. In this type of exercise, the agency implements all or portions of its COOP Plan by processing data and transactions using back-up media at an alternate recovery site, typically under simulated operating conditions.
Functional Exercise	Involves the actual mobilization of personnel to other sites in an attempt to establish communications and coordination as set forth in the COOP Plan. This type of exercise is conducted on one or more components of the COOP Plan under actual operating conditions.
Hazard	Something potentially dangerous or harmful, often the root cause of an unwanted outcome
Homeland Security Exercise and Evaluation Program (HSEEP)	A capabilities-based and performance-based program that furnishes standardized policies, doctrines, and terminologies for the design, development, performance, and evaluation of homeland security exercises. The NEP uses the HSEEP as a common methodology for exercises. The HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

Hot Site	An AWL that already has in place the computer, telecommunications, and environmental infrastructure required to recover critical business functions or information systems.
Improvement Plan (IP)	A cycle of events that incorporates evaluations, after-action reports, and lessons learned into the development and implementation of a document (the improvement plan itself) that identifies specific corrective actions, assigns them to responsible parties, and establishes targets for their completion.
Incident	An occurrence or event, natural or man-made, which requires an emergency response to protect life or property. Incidents can, include major natural disasters, emergencies, terrorist attacks, terrorist threats, wild and/or urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.
Incident Action Plan (IAP)	A written plan containing general objectives reflecting the overall strategy for managing an incident. The IAP may include the identification of operational resources and assignments and attachments that provide direction and important information for management of the incident during one or more operational periods.
Initial Response	Resources initially committed to an incident.
Interagency Agreements	A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.
Interoperability	“Interoperability” has two meanings: (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies, and to use the services so exchanged so that these organizations can operate together effectively; (2) A condition that is realized among electronic-communications operating systems or grids and/or among individual electronic-communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.
IT Disaster Recovery Plan Appendices	Apply to major, usually catastrophic, incidents that deny access to the normal computer center for an extended period. The IT Disaster Recovery Plan(s) may also refer to a systems-focused plan designed to restore operability of the target systems, applications, and/or computer facility at an alternate site after a disaster. Per the National Institute of Standards and Technology (NIST) Standard Procedure (SP) 800-53, the State of Ohio plans for IT Disaster Recovery based on the criticality or the impact of the system: low, moderate, or high.
Legal and Financial Records	Records that are necessary to protect the legal and financial rights of both the government and private sector and the persons who are affected by its actions.
Mission-critical Data	Information that is essential to supporting the execution of an agency’s mission essential functions.
Mitigation	Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The components of multiagency coordination systems include facilities, equipment, emergency operations centers (EOCs), specific multiagency coordination entities, personnel, procedures, and communications. These systems assist agencies and organizations to fully integrate the subsystems of the NIMS.
Multi-Year Strategy and Program Management Plan (MYSPMP)	A process that ensures the maintenance and continued viability of COOP plans. The MYSPMP serves as a roadmap for agency BC coordinators to follow to ensure that critical activities and resources can be implemented and obtained so that the agency’s programs continue to improve over time. The MYSPMP

	provides strategic guidance, a current program assessment, and outlines program needs, goals, objectives, and strategies for the agency’s COOP as well as milestones for accomplishing these activities and any issues, concerns, or obstacles that they may face.
Mutual-Aid Agreement (MAA)	Written agreement between agencies and/or jurisdictions that they will assist one another on request, by furnishing personnel, equipment, and/or expertise in a specified manner.
National Incident Management System (NIMS)	A system mandated by HSPD-5 that provides a consistent nationwide approach for Federal, State, local, and tribal governments; the private sector; and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, local, and tribal capabilities, the NIMS includes a core set of concepts, principles, and terminology. HSPD-5 identifies these as the ICS; multiagency coordination systems; training; identification and management of resources (including systems for classifying types of resources); qualification and certification; and the collection, tracking, and reporting of incident information and incident resources.
National Institute of Standards and Technology (NIST)	NIST is an agency within the United States Department of Commerce responsible for promoting innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life.
Normal Operations	Generally and collectively, “normal operations” refer to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include planning and execution of tasks throughout the range of operations.
Orders of Succession	Provisions that identify and determine succession of staff that will take command during and/or after an incident, if agency leadership is incapacitated or unavailable. Pre-establishing this chain of command enables an orderly transition of leadership, while also ensuring that respective successors are able to be cross-trained on duties in advance.
Ohio Emergency Management Agency (EMA)	Ohio EMA is a division of the Ohio Department of Public Safety, responsible for coordinating the response to a disaster that has occurred in the State of Ohio that has overwhelmed the resources of local authorities.
Pandemic	Defined by FEMA as, An epidemic that affects the entire world, or substantial portions of it.
Pandemic Appendix	Provides guidance in developing a Pandemic Appendix, including general guidance and sample information for reference.
Plan	A proposed or intended method of getting from one set of circumstances to another. A plan is often used to move from the present situation towards the achievement of one or more objectives or goals.
Preparedness	The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process. Preparedness involves efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources. Within the NIMS, preparedness is operationally focused on establishing guidelines, protocols, and standards for planning, training and exercises, personnel qualification and certification, equipment certification, and publication management.

Prevention	Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.
Program	A group of related initiatives managed in a coordinated way, so as to obtain a level of control and benefits that would not be possible from the individual management of the initiatives. Programs may include elements of related work outside the scope of the discrete initiatives in the program.
Public Information Officer (PIO)	A member of the Command Staff responsible for interfacing with the public and media or with other agencies with incident-related information requirements.
Orders of Succession	Identify and determine succession of personnel staff that will take command during and/or after an incident, if agency leadership is incapacitated or unavailable. Pre-establishing this chain of command enables an orderly transition of leadership, while also ensuring that respective successors are able to be cross-trained on duties in advance.
Reconstitution	The process by which surviving and/or replacement agency personnel resume normal organization operations from the original or replacement primary operating facility.
Reconstitution Appendix	Provides structure and recommended content for developing a reconstitution plan.
Recovery	The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.
Report-in Location	Location or facilities where incoming resources can check in at the incident.
Resource	Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.
Resource Management	Efficient incident management requires a system for identifying available resources at all jurisdictional levels to enable timely and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under the NIMS includes mutual-aid agreements; the use of special Federal, State, local, and tribal teams; and resource mobilization protocols.
Response	Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.
Risk Analysis	The process by which risks are identified and evaluated.

Risk Assessment (RA)	The identification and assessment of hazards.
Risk Management	The process of identifying, controlling, and minimizing the impact of events whose consequences are or may be unknown, or events that are themselves fraught with uncertainty.
Staff	All personnel who provide the leadership, advice, recommendations, and functional support necessary to continue essential operations.
Standard	A document which either directly supports or provides leading practice guidance through regulations, laws, and generally-accepted practices.
Standard Operating Procedure (SOP)	Complete reference document or an operations manual that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.
State Mission Essential Function (SEF)	Statewide Mission Essential Functions – validated by the Business Continuity Steering Committee (BCSC), the Director of the Ohio Department of Administrative Services, and ultimately the Governor of the State of Ohio – which must be performed before during, and after an incident in order to support the continuity of government of the State of Ohio. These SEFs must be continuous or resumed within 12 hours of an incident’s occurrence and maintained for up to 30 days or until normal operations can be resumed.
Strike Appendix	Provides a structure for management response to a staff shortage or strike scenario.
Structured Walk-through Exercise	Basic test to ensure that critical personnel from all of the COOP sections and appendices are familiar with the Business Continuity Plan, activities, and recovery procedures.
Tabletop Exercise (TTX)	The tabletop is largely a discussion guided by a facilitator (or sometimes two facilitators who share responsibilities). Its purpose is to solve problems as a group. There are no simulators and no attempts to arrange elaborate facilities or communications. One or two evaluators may be selected to observe proceedings and progress toward the objectives.
Telecommuting Locations	Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.
Telework	The ability to work at a location other than the official duty station, using portable computers, high-speed telecommunications links, and mobile communications devices.
Testing, Training, and Exercise (TT&E) Program	Measures to ensure that an organization’s continuity plan is capable of supporting the continued execution of the organization’s essential functions throughout the duration of a continuity situation.
Threat	An indication of possible violence, harm, or danger.
Virtual Office	A location or environment where employees use portable information technologies and communication packages to do their work.
Vulnerability Analysis	A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.
Warm Site	An AWL that is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is capable of providing backup after additional provisioning, software or customization is performed.
Work-at-Home	When employees carry out their work duties at their residence rather than their official duty station.

## **XIV. HAZARD-SPECIFIC APPENDICES**

*The contents of hazard-specific appendices should focus on the special planning needs generated by a particular hazard, outside of the base plan. These appendices contain unique response details that apply to a single hazard. An example of a hazard-specific appendix may be loss of facility (degradation), loss of staff (pandemic influenza or personnel strike), or loss of systems (IT disaster recovery). Agencies should determine other specific hazards to address, if needed, based upon the results of the agency risk analysis.*

### **APPENDIX A. FACILITY DEGRADATION**

### **APPENDIX B. INFORMATION TECHNOLOGY DISASTER RECOVERY**

### **APPENDIX C. PANDEMIC**

### **APPENDIX D. STRIKE**