Continuity of Operations Plan

Oklahoma Department of Environmental Quality

OK DEQ
707 North Robinson
Oklahoma City, OK 73101

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BASIC PLAN

I.   PROMULGATION STATEMENT

The mission of the Oklahoma Department of Environmental Quality is to protect people through the air we breathe, the water we drink, and the land on which we thrive, helping to make Oklahoma an even better place to live. To accomplish this mission, DEQ must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the DEQ Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

Key DEQ personnel who are relocated under this plan are collectively known as the Emergency Relocation Group (ERG). Upon plan activation, these members will deploy to the DEQ Tulsa Office. Upon arrival, continuity personnel will establish an operational capability and perform essential functions within 12 hours from the time of the activation of the Continuity Plan, for up to a 30-day period or until normal operations can be resumed.

This plan is developed in accordance with guidance 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 September 2013; DEQ Management Directive; Oklahoma Executive Order 2009-11, and other related Directives and guidance.

Scott Thompson
Executive Director
Department of Environmental Quality

II.   ANNUAL REVIEW

DEQ reviews its Continuity Plan once a year and makes any required updates.

Annual Review Table

Element Reviewed	Date of Last Review	Individuals Conducting Review
Continuity Plan	March 2019	C. Hoyle
Essential Functions	March 2019	COOP Divisional Contacts
Continuity Facility	March 2019	COOP Divisional Contacts
Continuity Communications' ability to support Essential Functions fully	March 2019	COOP Divisional Contacts

III.   RECORD OF CHANGES

Document Change Table

Change Number	Section	Date of Change	Individual Making Change	Description of Change
1	X. and Annex E.	March 2019	C. Hoyle	Communication updates. Successors & Authority.

IV.   RECORD OF DISTRIBUTION

DEQ will distribute copies of the Continuity Plan on a need to know basis. The Plan will be maintained on the DEQ server and made available to all DEQ Division Continuity Plan contacts. In addition, copies of the Plan will be distributed to other organizations as necessary to promote information sharing and facilitate a coordinated inter-organization continuity effort.

V.   PURPOSE, SCOPE, SITUATIONS, AND ASSUMPTIONS

A.   PURPOSE

DEQ's mission is to enhance the quality of life in Oklahoma and protect the health of its citizens by protecting, preserving and restoring the water, land and air of the state, thus fostering a clean, attractive, healthy, prosperous and sustainable environment. To accomplish this mission, DEQ must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the DEQ Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.   While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on DEQ missions, personnel, and facilities.

The overall purpose of continuity planning is to ensure the continuity of the essential functions under all conditions. The current changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity capabilities and plans that enable organizations to continue their essential functions in an all-hazards environment and across a spectrum of emergencies. These conditions, coupled with the potential for terrorists' use of weapons of mass destruction, have increased the importance of having continuity programs that ensure continuity of essential functions across all levels of government.

B.   SCOPE

This Continuity Plan applies to the functions, operations, and resources necessary to ensure the continuation of DEQ's essential functions in the event its normal operations at the DEQ central office are disrupted or threatened with disruption. This plan applies to all DEQ personnel in DEQ's central office located at 707 North Robinson, Oklahoma City, OK. DEQ staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

This document ensures DEQ is capable of conducting its essential missions and functions under all threats and conditions, with or without warning.

C.   SITUATION OVERVIEW

According to the National Continuity Policy Implementation Plan, it is the policy of the United States to maintain a comprehensive and effective continuity capability. To that end, by continuing the performance of essential functions through a catastrophic emergency, the non-Federal Governments support the ability of the Federal Government to perform National Essential Functions (NEFs), continue Enduring Constitutional Government, and ensure that essential services are provided to the Nation's citizens. A

comprehensive and integrated continuity capability will enhance the credibility of our national security posture and enable a more rapid and effective response to, and recovery from an emergency.

D.   PLANNING ASSUMPTIONS

This Continuity Plan is based on the following assumptions:

- An emergency condition may require the relocation of DEQ's Emergency Relocation Group (ERG) to the continuity facility at the DEQ Tulsa Office.
- The DEQ Tulsa Office will support the ERG and the continuation of DEQ essential functions by available communications and information systems within 12 hours from the time the Continuity Plan is activated, for potentially up to a 30-day period or until normal operations can be resumed.
- The DEQ regional offices are unaffected and available to support actions directed by the Executive Director or a successor.

E.   OBJECTIVES

- The DEQ's continuity objectives are listed below:
    1. Ensuring that the organization can perform its essential functions under all conditions.
    2. Reducing the loss of life and minimizing property damage and loss.
    3. Executing a successful order of succession with accompanying authorities in the event a disruption renders that organization's leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of office.
    4. Reducing or mitigating disruptions to operations.
    5. Ensuring there are facilities from where the organization can perform essential functions.
    6. Protecting personnel, facilities, equipment, records, and other assets critical to the performance of essential functions in the event of a disruption.
    7. Achieving the organization's timely and orderly recovery and reconstitution from an emergency.

VI. CONCEPT OF OPERATIONS

A.   PHASE I: READINESS AND PREPAREDNESS

DEQ readiness activities are divided into two key areas:

- <u>Organization</u> readiness and preparedness
- <u>Staff</u> readiness and preparedness

Organization Readiness and Preparedness

DEQ preparedness incorporates hazard/threat warning systems which includes: communications with other state agencies including Oklahoma Emergency Management and local law enforcement, weather forecast and meteorological updates, local and national media outlets, social media alert, email alerts, and the emergency alert system.

Staff Readiness and Preparedness

DEQ personnel will prepare for a continuity event and plan in advance what to do in an emergency. DEQ staff should develop a Family Support Plan to increase personal and family preparedness. The www.ready.gov website 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.

DEQ ERG continuity personnel should create and maintain drive-away kits. ERG Continuity personnel are responsible for developing and maintaining their kits. Continuity personnel are responsible for transporting the kits to the continuity facility. An example drive away kit is listed in the table below.

In addition, DEQ will conduct a Continuity Plan orientation and training on an as-needed basis to ensure Plan personnel are aware of their duties.

Drive-Away Kit

The following table lists suggested items for continuity drive-away kit contents.

Drive Away Kit
- Identification and charge cards   - Organization identification card   - Driver's license   - Health insurance card   - Personal charge card   - Communication equipment   - Organization cell phone   - Tablets   - Personal cell phone   - Hand-carried Essential Records   - Continuity Plan   - Directions to continuity facility   - Maps of surrounding area   - Business and leisure clothing   - Flashlight   - Business and personal contact numbers   - Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)   - Toiletries   - Chargers/extra batteries for phones, GPS, and laptop   - Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)   - Medical needs   - Insurance information   - List of allergies/blood type   - Hearing aids and extra batteries   - Glasses and contact lenses   - Extra pair of eyeglasses/contact lenses   - Prescription drugs (30-day supply)   - Over-the-counter medications, dietary supplement

B.   PHASE II: ACTIVATION

To ensure the ability to attain operational capability at continuity facilities and with minimal disruption to operations, DEQ will execute activation plans as described in the following sections.

Decision Process Matrix

Based on the type and severity of the emergency situation, the DEQ Continuity Plan may be activated by one of the following methods:

(1) The DEQ Executive Director or a designated successor, may initiate the Continuity Plan activation for the entire organization, based on an emergency or threat directed at the organization

(2) The state governor or cabinet secretary may initiate continuity activation

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

The decision to activate the DEQ Continuity Plan and related actions will be tailored for the situation and based on projected or actual impact and whether or not there is warning. To support the decision-making process regarding plan activation, key organization personnel will use the decision matrix below to support that process.

Decision Matrix for Continuity Plan Implementation		
	Work Hours	Non-Work Hours
Event With Warning	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Are employees unsafe remaining in the facility and/or area?	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Who should be notified of the threat? • Is it safe for employees to return to work the next day?
Event Without Warning	• Is the facility affected? • Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? • What are instructions from first responders?	• Is the facility affected? • What are instructions from first responders? • How soon must the organization be operational?

Decision Matrix for Continuity Plan Implementation		
	Work Hours	Non-Work Hours
	• How soon must the organization be operational?	

As the decision authority, the Executive Director will be kept informed of the threat environment using all available means, including communications with the State Emergency Operations Center, emergency alert system, local operations, and State and local reporting channels and news media. The Executive Director 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, office facilities, and other vital equipment

(7) The expected duration of the emergency situation

Alert and Notification Procedures

DEQ has internal guidance procedures for communicating and coordinating activities with personnel before, during, and after a continuity event.

Before an event, personnel in DEQ will monitor advisory information. In the occasion normal operations are interrupted or an incident appears to be imminent, DEQ will take the following steps to communicate the organization's operating status with all staff:

(1) The Executive Director or designated successor will notify the Deputy Director, General Counsel, all Division Directors, and the Emergency Response Coordinator concerning the DEQ's status

(2) The Administrative Services Division (ASD) Director will alert all DEQ members by:

    i. Employee email

    ii. Mass notification system

(3) DEQ personnel can notify family members, next of kin, and/or emergency contacts of Continuity Plan activation

Upon the decision to activate the Continuity Plan, DEQ will notify all 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:

- The DEQ Tulsa Office and on-site teams with information regarding continuity activation, relocation status, and the anticipated duration of relocation
- The State of Oklahoma's Emergency Operations Center (EOC) via the Emergency Response Coordinator
- All DEQ employees and field offices with instructions and guidance regarding the continuity activation

Relocation Process

Once the Continuity Plan is activated and personnel are notified, DEQ will relocate continuity personnel and Essential Records to the Tulsa Office, if necessary. The DEQ Tulsa Office will be known as the Emergency Relocation Site (ERS). DEQ continuity personnel will deploy/relocate to the Tulsa Office to perform DEQ's essential functions and other continuity-related tasks. A map and directions to the continuity facility will be included as part of the Continuity Plan in Annex D.

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

- Continuity personnel, including advance team personnel, if applicable, will depart to the designated continuity facility from the primary operating facility or current location using their privately owned vehicles.
- Non-continuity personnel present at the primary operating facility or another location will receive instructions from the Executive Director, ASD, or other delegated authority. In most scenarios, non-continuity personnel will be directed to proceed to their homes or other DEQ 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:

- Continuity personnel will depart to the designated continuity facility from the primary operating facility or current location using their privately owned vehicles.
- Non-continuity personnel will remain at their residence or other designated facility to wait for further instructions.

In the event of an activation of the Continuity Plan, DEQ may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The Executive Director, ASD Director, or other delegated personnel maintains the authority for emergency procurement. Instructions for these actions are found in the Central Purchasing Act (74 O. S. §85.1, et seq.).

C.   PHASE III: CONTINUITY OPERATIONS

Upon activation of the Continuity Plan, DEQ will continue to operate at its primary operating facility until ordered to cease operations by the Executive Director using the notifications described above. At that time, essential functions will transfer to the continuity facility. DEQ will ensure that the continuity plan can be operational within 12 hours of plan activation.

Members of the DEQ Tulsa Office will be first to arrive at the facility to prepare the site for the arrival of the continuity personnel. Upon arrival at the facility, the Tulsa Office staff will:

- Ensure infrastructure systems, such as power and heating, ventilating, and air conditioning are functional
- Prepare duty stations for ERG arrival
- Address telephone inquiries from ERG and non-ERG staff

After continuity personnel arrive, the ASD Director or successor will conduct in-processing to ensure accountability. In addition, the office will identify all DEQ leadership available at the continuity facility.

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

- Report immediately for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace or as otherwise notified during the activation process
- Monitor the status of DEQ's personnel and resources
- Continue DEQ's essential functions
- Prepare and disseminate instructions and reports, as required
- Notify family members, next of kin, and emergency contacts with preferred contact methods and information

A requirement of continuity personnel is to account for all DEQ personnel. DEQ will use the following processes to account for all personnel:

- **Mass notification system**
- **Email/Text notifications**
- **Divisional Continuity Plan contacts will be responsible for notifying the Executive Director or successor concerning which personnel are unaccounted for.**

During continuity operations, DEQ 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 Executive Director, ASD Director, or other delegated personnel maintains the authority for emergency acquisitions. Instructions for these actions are found in the Central Purchasing Act (74 O. S. §85.1, et seq.).

D.   PHASE IV: RECONSTITUTION OPERATIONS

Within 72 hours of an emergency relocation, the following individual will initiate and coordinate operations to salvage, restore, and recover the DEQ primary operating facility after receiving approval from the appropriate State and local law enforcement and emergency services:

- **The Assistant Director of Administrative Services Division** will serve as the Reconstitution Manager for all phases of the reconstitution process
- Each DEQ division will designate a reconstitution point-of-contact (POC) to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution

During reconstitution operations, the Reconstitution Manager should determine the status of the primary operating facility affected by the event using any and all communication methods available. Upon obtaining the status of the facility, DEQ will determine how much time is needed to repair the primary operating facility and/or acquire a new facility. Should DEQ decide to repair the facility, the Director of ASD, the Reconstitution Manager, and the DEQ building Operations Manager share the responsibility of supervising the repair process and should notify the Executive Director of the status of repairs, including estimates of when the repairs will be completed.

Reconstitution will commence when the Executive Director 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 Plan. Once the appropriate DEQ 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 continuity facility
- Reconstitute the DEQ primary operating facility and begin an orderly return to the facility
- Begin to establish a reconstituted DEQ in another facility or at another designated location

Before relocating to the primary operating facility or another facility, the Director of ASD, the Reconstitution Manager, and the DEQ building Operations Manager will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the Reconstitution Manager will verify that all systems, communications, and other required capabilities are available and operational and that DEQ is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.

Upon a decision by the Executive Director or other authorized person that the DEQ primary operating facility can be reoccupied or that DEQ will be reestablished in a different facility:

- The ASD Director or other authorized individual should notify other applicable personnel with information regarding continuity activation status, the DEQ continuity facility, operational and communication status, and anticipated duration of relocation.
- The DEQ Emergency Response Coordinator will continue to communicate DEQ's status with the State Emergency Operations Center.
- The Reconstitution Manager will develop space allocation and facility requirements if at a new location.
- ASD Director will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using employee email and the mass notification system.
- The Reconstitution Manager will coordinate with DEQ facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable.
- ASD will develop procedures, as necessary, for restructuring staff.

Upon verification that the required capabilities are available and operational and that the DEQ is fully capable of accomplishing all essential functions and operations at the new or restored facility, the Director of ASD 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 listed below; and the DEQ will develop return plans based on the incident and facility as soon as possible after plan activation.

- **Executive Leadership and IT Support**
- **The ERG Team**
- **All Remaining Divisional Staff**

The DEQ will continue to operate at its continuity facility until ordered to cease operations by the Executive Director. At that time, essential functions will transfer to the primary operating facility. The DEQ will develop resumption plans based on the incident and facility within 72 hours of plan activation.

The DEQ Records Manager will identify any records affected by the incident. In addition, the DEQ Records Manager will effectively transition or recover Essential Records and databases, as well as other records that had not been designated as Essential Records, using established procedures.

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining DEQ staff at the continuity facility will

transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The Director of ASD and the Reconstitution Manager will oversee the orderly transition from the continuity facility of all DEQ functions, personnel, equipment, and records to a new or restored primary operating facility. ASD 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.

DEQ will conduct an After Action Review (AAR) once back in the primary operating facility or in a new primary operating facility. The Continuity Plan Coordinator is responsible for initiating and completing the AAR and all offices within DEQ will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in the DEQ corrective action program (CAP), and then develop a remedial action plan as soon as possible after the reconstitution. The Continuity Coordinator 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 Records Manager to ensure an effective transition or recovery of Essential Records and databases and other records that had not been designated as Essential Records.

E.   DEVOLUTION OF CONTROL AND DIRECTION

DEQ 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 DEQ's essential functions. If deployment of continuity personnel is not feasible due to the unavailability of personnel, temporary leadership of the DEQ will devolve to the DEQ Tulsa Office.

VII. ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

Key staff positions within DEQ, to include individual continuity members, those identified in the orders of succession and delegation of authority, the DEQ Continuity Coordinator, divisional continuity POCs, and others possess additional continuity responsibilities. The responsibilities of these key continuity personnel are delineated below.

DEQ Continuity

Position	Responsibilities
Executive Director	• Provide strategic leadership and overarching policy direction for the continuity program • Implement the Continuity Plan when necessary, or when directed by a higher authority • Update and promulgate orders of succession and delegations of authority • Ensure adequate funding is available for emergency operations • Ensure all organization components participate in continuity exercises as needed
ASD Director	• Keep personnel rosters accurate • Conduct alert and notification tests • Maintain HR records
ASD Assistant Director	• Serve as the Reconstitution Manager
Continuity Manager	• Update Continuity Plan annually • Conduct continuity training as needed
Emergency Response Coordinator	• Maintain communications with State EOC
Records Manager	• Review and maintain Essential Records, files, and databases
Divisional POCs	• Be the point of contact for divisional coordination
All Continuity Personnel	• Be prepared to deploy and support organization essential functions in the event of Continuity Plan implementation • Provide current contact information to manager • Be familiar with continuity planning and know individual roles and responsibilities in the event of Continuity Plan activation • Participate in continuity training and exercises as directed • Have a telework agreement for this position, if applicable

VIII. DIRECTION, CONTROL, AND COORDINATION

During activation of the Continuity Plan, the Executive Director maintains responsibility for control and direction of DEQ. Should the Executive Director become unavailable or incapacitated; the organization will follow the directions laid out in **Annex E** *Orders of Succession* and *Delegations of Authority*.

IX. DISASTER INTELLIGENCE

During a continuity event, DEQ 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.

Information Element	Specific Requirement	Responsible Element	Deliverables	When Needed	Distribution
Personnel Accountability	Account for all ERG and non-ERG employees Account for all contract personnel	ASD Director And Human Resources Division	Reports Briefings	Status updates hourly following Plan activation	**Executive Director**
Operational Status	Percent of ERG personnel arrived at site Ability to conduct each essential function	All Division Directors	Situation briefings Situation reports	No later than 6 hours after plan activation, then hourly	**Executive Director**
Hazard Information	Threat details specific to DEQ or the continuity facility	Emergency Response Coordinator	Situation briefings Situation reports	Two times per day at shift change	**All Directors and Assistant Directors**

X. COMMUNICATIONS

DEQ has identified available and redundant critical communications systems that are located at the primary operating facility and continuity facility. Further, DEQ maintains fully capable continuity communications that support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices.

All DEQ's necessary and required communications and IT capabilities should be operational within 12 hours of continuity activation.

XI. BUDGETING AND ACQUISITION OF RESOURCES

DEQ budgets for and has resources and capabilities essential to continuity operations. The Central Purchasing Act (74 O. S. §85.1, et seq.) 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.

For those contracts vital to the support of organization essential functions, DEQ has ensured contractor statements of work include the provision to provide staffing, services, and resources during emergency conditions.

XII. MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN

The DEQ Continuity Plan Multiyear Strategy includes the objectives and key strategies for developing and maintaining a viable COOP program, including the support for short- and long-term initiatives, which will be accomplished as part of the annual maintenance and review process.

This maintenance phase is a critical element of the DEQ's strategic planning activities because it highlights how the initiatives of the multiyear strategy are executed. This maintenance phase will include: describing the DEQ's needs; defining roles and responsibilities; and document specific program timelines. In addition, it provides an effective program management tool for oversight, resource allocation, and progress evaluation.

XIII. PLAN DEVELOPMENT AND MAINTENANCE

The DEQ Continuity Coordinator is responsible for maintaining DEQ's Continuity Plan.

The Continuity Plan, DEQ's essential functions, and supporting activities, will be reviewed by the Continuity Coordinator and divisional continuity POCs, and updated annually from the date of publication as part of the maintenance of continuity plans and procedures. In

addition, the plan will be updated or modified when there are significant organizational, procedural changes, or other events that impact continuity processes or procedures.

XIV. AUTHORITIES AND REFERENCES

Federal Guidance

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) FEMA P-789 / October 2013

Executive Order 12148–Federal Emergency Management.

Executive Order 12472–Establishment of the National Communications System.

Executive Order 12656–Assignment of Emergency Preparedness Responsibilities.

Presidential Decision Directive 63.

Presidential Decision Directive 67.

Executive Order 13228—Establishing the Office of Homeland Security and the Homeland Security Council.

Executive Order 13231—Critical Infrastructure Protection in the Information Age.

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Amended (U.S. Code Title 42 Section 5121).

U.S. National Archives & Records Administration (NARA) Code of Federal Regulations.

Homeland Security Presidential Directive–1.

Homeland Security Presidential Directive–3.

FEMA Federal Preparedness Circular (FPC) No. 65–Federal Executive Branch Continuity of Operations (COOP).

Federal Preparedness Circular No. 66–Test, Training and Exercise (TT&E) Program for Continuity of Operations (COOP).

Federal Preparedness Circular No. 67–Acquisition of Alternate Facilities for Continuity of Operations (COOP).

State of Oklahoma Guidance

Governor's Executive Order No. 2009-11.

State of Oklahoma Emergency Operations Plan, 2009.

Governor's Executive Order No. 144.

FUNCTIONAL ANNEXES

ANNEX A.   ESSSENTIAL FUNCTIONS

IDENTIFICATION OF ESSENTIAL FUNCTIONS

State Essential Functions

State, Territorial, Tribal Essential Functions (STTEFs)
STTEF 1: Maintain Continuity of Government. Focus: Ensure the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management operations; situational awareness; personnel accountability; and functional and judicial organizations (as necessary). Each State, territory and tribe should identify the various subordinate mission essential functions necessary to accomplish this overarching mission. (This STTEF aligns with NEF 1)
STTEF 2: Provide Visible Leadership. Focus: Visible demonstration of leaders effectively dealing with the crisis and leading the response efforts: this assists in providing and monitoring the threat and confidence of established government organizations and the public. (This STTEF aligns with NEF 2)
STTEF 3: Reserved. STTEF 3 is not defined as there is no parallel to NEF 3: Employ the military, including implementing military operations to defend the Nation. While the States, territories, and tribes support this function, the Federal government is solely responsible for performing this function.
STTEF 4: Maintain Effective Relationships with Neighbors and Partners. Focus: Maintain external relationships and agreements with a wide variety of entities; this may vary considerably across the various States, territories, and tribes. This includes communications and interactions, as necessary during a crisis, with critical partners and organizations, including the Federal Government; other State, Territorial, and tribal governments, private sector and non-profit organizations; and may include foreign governments and organizations in some cases. (This STTEF aligns with NEF 4, however, it is recognized that the primary foreign relations responsibility lies with the Federal government.)
STTEF 5: Maintain Law and Order. Focus: Maintain civil order and public safety (protecting people and property, and the rule of law); ensuring basic civil rights, preventing crime, and protecting critical infrastructure. This involves State, territorial, and tribal governments and local law enforcement, and includes calling up of National Guard units to support these efforts. (This STTEF aligns with NEF 5)
STTEF 6: Provide Emergency Services. Focus: Provide critical emergency services, including emergency management, police, fire, ambulance, medical, search and rescue, hazmat, shelters, emergency food services, recovery operations, etc. (This STTEF aligns with NEF 6)
STTEF 7: Maintain Economic Stability. Focus: Manage the overall economy of the State, territorial, or tribal governments. While the Federal government is responsible for protecting and stabilizing the National economy and regulating the currency, State, territorial, and tribal governments have a responsibility to manage their jurisdiction's finances and ensure solvency. During a crisis affecting the economy, maintaining confidence in economic and financial institutions is critical at every level of government. (This STTEF aligns with NEF 7)
STTEF 8: Provide Basic Essential Services. Focus: Ensure provision of basic services, including water, power, health care, communications, transportation services, sanitation services, environmental protection, commerce, etc. These are services that must continue or be restored quickly to provide for basic needs. Other less critical services (recreation, education) may be delayed or deferred at the discretion of the State, territorial, and tribal governments; the focus is on providing those critical services necessary to sustain the population and facilitate the return to normalcy. (This STTEF aligns with NEF 8)

Organization Mission Essential Functions

Organization MEFs are a limited set of their organizational functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. DEQ implemented the MEF identification process to identify and prioritize their organizational MEFs. DEQ's MEFs, as validated and approved by the **Executive Director,** are listed below in priority order.

DEQ Mission Essential Functions with staffing considerations

1. **Provide technical assistance to the community at large. This includes but is not limited to: public water supplies, waste water treatment, debris management, hazardous waste and radioactive waste.**

    a. All ECLS satellite offices and personnel (remotely)

    b. PWS and WW Engineers (remotely)

    c. Divisional staff as needed (remotely)

2. **Ensure communication to all employees and stakeholders**

    a. Executive Director and Deputy (ERG)

    b. IT Strategist (ERG)

    c. ASD Director & ADD (ERG)

    d. Emergency Response Coordinator (ERG)

    e. PIO (ERG)

    f. Continuity Coordinator (ERG)

3. **Ensure administrative and financial services continue**

    a. IT Strategists (ERG)

    b. Human Resource and Records Administrator (ERG)

    c. CFO (ERG)

    d. Chief Procurement Officer (ERG)

    e. Comptroller (ERG)

4. **Emergency Permitting**

    a. Agency Chief Engineer (ERG)

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ANNEX B.   **IDENTIFICATION OF CONTINUITY PERSONNEL**

In addition to the individuals identified as MEF staff in Annex A, the following positions will be part of the ERG to relocate to the alternate location:

General Counsel & Deputy Counsel-ERG
Division Directors & Assistant Directors -ERG
Legislative Liaison-ERG
Criminal Investigation Unit & Security-ERG

During a continuity event, emergency employees and other special categories of employees may be activated by DEQ to perform specific duties. Any and all staff member may be called upon to perform a specific duty during a continuity event. Therefore, it is important that DEQ keeps all staff informed and accounted for during a continuity event. DEQ has established procedures for contacting and accounting for employees in the event of an emergency, including operating status. DEQ employees are expected to remain in contact with their supervisor during any facility closure or relocation situation via email, text or phone.

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ANNEX C.   ESSENTIAL RECORDS MANAGEMENT

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RECORDS MANAGEMENT, IMAGING AND RETENTION

Responsibility for managing Department of Environmental Quality (DEQ) records is shared by the Agency, the Oklahoma Department of Libraries (ODOL), and the Archives and Records Commission (ARC). Agency records management program activities are carried out under the direction of the Agency Records Manager (RM).

The DEQ has an obligation to maintain and manage records[1] pursuant to the Open Records Act and the Records Management Act. In addition to this legal obligation, the DEQ has determined that paper reduction is an agency obligation. To satisfy the obligations of record maintenance, retention, public access, paper reduction and information security, the agency has developed processes. Each process satisfies a different component of records maintenance and electronic storage and therefore requires different retention treatment as outlined in the SOP.

RECORDS MANAGEMENT

The RM will be knowledgeable of both federal and state laws, statutes, rules and regulations that may affect the retention of records.

The Records Disposition Schedule is the agency's continuing authorization for disposal of records not covered by general schedules. The schedule lists all records, both hard copy and electronic, created or received and specifies the length of time and the manner in which each must be retained. The disposition of records will be determined with input from the Division Director, Assistant Division Director and Office of General Counsel.

The development of the disposition schedule is ongoing and involves inventorying all records not covered by general schedules; appraising all applicable administrative, fiscal, legal and historical considerations; and compiling draft schedules. Working with divisions and ARC the RM will ensure all processes are followed correctly and updates and revisions to the schedule are published to the agency schedule when final approval is received from ARC.

Records destruction is carried out in accordance with all applicable statutes, rules and regulations and records disposition authorizations and is accomplished through the RM through the submission of appropriate forms or as authorized by the on-going authorization signed by Director of the Department of Libraries.

All records requiring permanent retention are stored at the DEQ Headquarters Building.

The RM reports the volume of records authorized for disposal to the Director of the Department of Libraries by July 31st of each year to ensure compliance.

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[1] As defined in Title 51 O.S. §24A.3

Records Management, Imaging &   November, 2016
Retention SOP

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IMAGING

The purpose of the document imaging program is to reduce paper and enhance access to public records. The Central Records Manager, HR and Records Administrator and divisional personnel share responsibility for the imaging program. The imaging process addresses paper documents that are scanned and converted to electronic images and documents received electronically, for example, attachments to email messages. The agency format standard is tag imaged file (tif) and 300 dots per inch (DPI) for imaged documents. Documents received electronically, which are then stored in the official agency repository, retain their original formatting.

Documents received or created by the agency are considered day-forward documents if they are in the final format. All submittals to the agency should be promptly scanned and indexed into Edoctus as soon as possible after they are received. Final day-forward documents are imaged, thereby converting them to electronic images. The electronic image then becomes the official agency record. The day-forward imaging process includes preparing, scanning, and indexing of all documents received or created by the agency that are in final format and ready to be placed in the official file.

Paper versions may be returned for use by divisional staff if the items are large documents that are difficult to comprehend on a computer screen, such as maps and engineering drawings. This must be noted in the scanning and preparation of documents when they are first presented for scanning. Divisional staff are responsible for handling and storage of the returned documents. The returned documents will be stamped "Imaged" by Central Records and will be considered convenience copies.

Imaging Responsibilities

Central Records:

- trains agency employees to use the imaging software, how to index documents and how to perform searches within the software. This section is also responsible for writing standard procedures describing indexing and scanning. Imaging training for employees can be scheduled by emailing centralrecords@deq.ok.gov,
- images hard copy records,
- rescans unacceptable images due to image quality or, if the original is in the same condition as the imaged document the division will be notified that the document cannot be improved by rescanning, and
- stores imaged records on the 3nl floor for 3 months from date of image, then sends records for destruction.

Divisions:

- prepare documents and send them to central records for imaging by removing staples, sticky notes and confidential items and placing either a day forward or archive bar code sheet on each document, and

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- deliver prepared documents to central records to be imaged.
- pick-up improperly prepared documents from central records, correct issues and return the documents for scanning,
- place inserts within currently imaged documents, and
- complete quality control and indexing scanned documents within 60 days of imaging. This includes checking the image for scanning errors, placement errors, and quality and readability.

ADDING ELECTRONIC DOCUMENTS TO EDOCTUS

This section addresses the handling and retention of finalized electronic documents pertaining to official DEQ business. Final electronic documents created by or received by the DEQ that if in hard copy format would be retained in Central Records are retained in Edoctus. This includes attachments to email messages, compact discs (CDs), digital video disks (DVDs), and other electronic (portable) media. It is the responsibility of each division to ensure that official documents are properly identified, indexed, and saved in the Edoctus system.

Although the agency format standard for electronic documents converted from paper is tag imaged files (.tif), items in electronic formats are uploaded into Edoctus using their original formatting. These documents will be saved as "read-only" and cannot be altered by non-Edoctus administrators.

Each division will develop and implement a system to ensure that final day-forward electronic documents received or created by the division are promptly uploaded and indexed in Edoctus. Knowledge workers will perform routine quality control reviews and index these documents. Division staff will identify a primary point of contact and backup person to ensure compliance with the SOP.

This procedure is an important step in the agency's transition from paper-based information to a paperless system. The procedure will allow the DEQ to comply with applicable rules and laws and to properly respond to legal requests for official documents. This plan will eliminate the need for printing electronic documents and then scanning those items into images.

ELECTRONIC STORAGE ON DIVISION DRIVES

Although Edoctus will be the primary repository for electronic documents received or created, the DEQ recognizes that not all documents can be satisfactorily stored in this system due to volume, format or data structure. Therefore, divisions may retain certain types of documents on the division drives. Data stored in this manner is considered public record and subject to the Open Records Act.[2]

Documents stored on division common drives should be readily retrievable upon request pursuant to a citizen request, subpoena or an Open Records requirement. In order to facilitate

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[2] Except as provided for in Title 51 O.S. §§ 24A.5-24A.28.

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these requests, division drives should have a comprehensible filing system and the filing system should be known to the employees of the respective division.

Final documents should not be stored on individual desktop computers but should be placed in the division drive or Edoctus as appropriate due to volume or format.

RETENTION

Email

Email messages sent or received relating to agency business are considered public record. In order to ensure compliance with the Open Records Act, the agency has implemented an email archiving solution which will allow *all* emails to be searched and retrieved regardless of whether or not they have been deleted from an individual user mailbox. Therefore, retaining emails in a user mailbox is only for individual use and will not be relied upon for open records or litigation discovery searches. Conversely, the agency's email archiving solution is *not* for individual use and will require requests to the Office of General Counsel, which will, as appropriate, run email searches for requested records.

Online Storage

The use of an online storage site (e.g., cloud storage) for retention or storage of confidential or personally identifiable information (PII) received or generated by the DEQ is prohibited. The use of online storage in lieu of Edoctus for the storage of DEQ records in final format is prohibited. The use of online storage for collaborative purposes with other agencies, organizations, or professionals may be necessary for business purposes but data stored in this manner for any purpose shall be subject to the Oklahoma Open Records Act.

Photographs

Photographs relating to DEQ business are considered part of the public record and are therefore subject to the Oklahoma Open Records Act. The use of online storage in lieu of Edoctus for the storage of photographs received or generated by the DEQ is prohibited. Photographs that are duplicative, repetitive, or of such poor quality as to offer no value may be deleted. Retained photographs may be deleted pursuant to the pre-existing disposition schedules set forth for the DEQ. Non-business related photographs may be stored on the Q drive for viewing but will be moved to an external hard drive after 90 days and have no official retention schedule.

ADOPTED by:

_____ Date Signed: _11 - 21 - 2016_

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ANNEX D.   CONTINUITY FACILITIES

Continuity Facility Information

DEQ has a designated continuity facility as part of its Continuity Plan and has prepared continuity personnel for the possibility of unannounced relocation to the site(s) to continue performance of essential functions

The DEQ continuity facility is located at 9933 East 16th Street Tulsa, OK 74128. A map of the surrounding area, including directions and route from the primary operating facility, is located at below. Additional facility details are as follows:
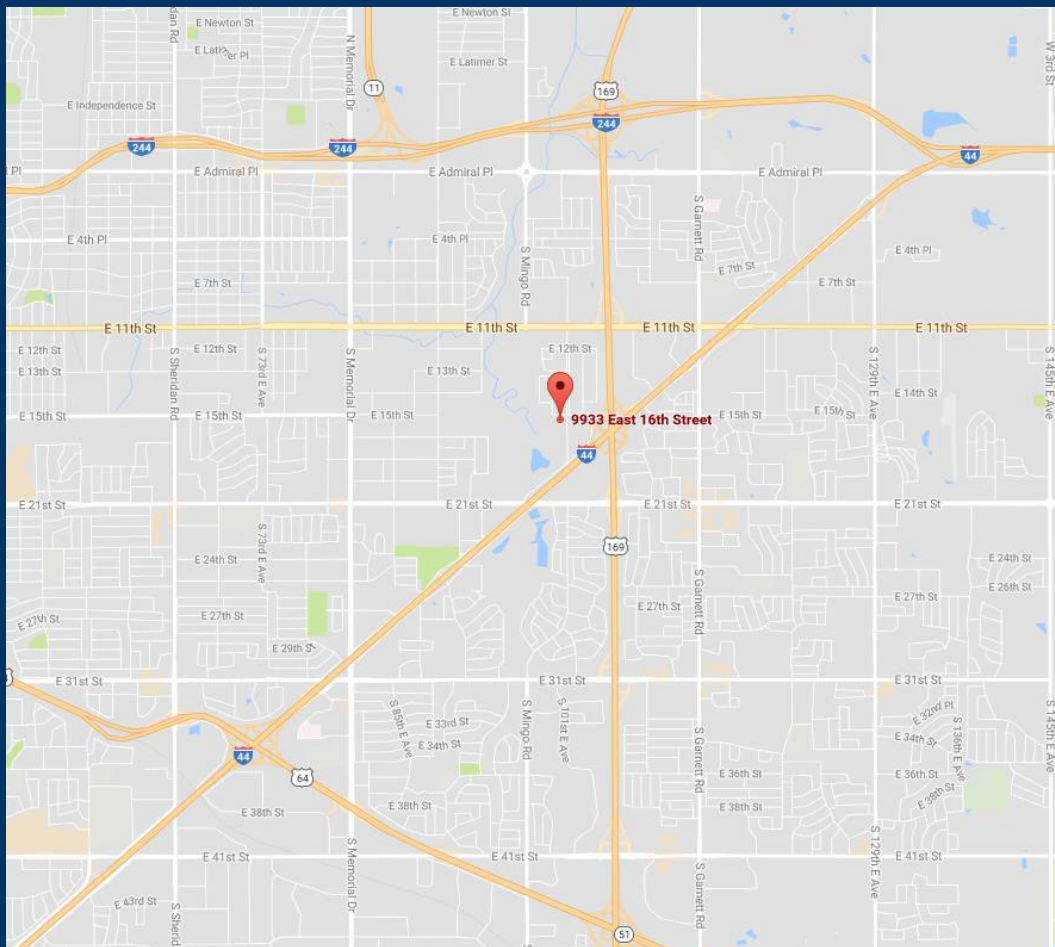
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ANNEX E.   LEADERSHIP AND STAFF

ORDERS OF SUCCESSION

Successors	
Position	**Successors**
Executive Director	
	Deputy Director
	General Counsel
	Agency Chief Engineer
Administrative Services Director	
	ASD Assistant Division Director
	Chief Financial Officer
	Human Resources and Records Management Administrator
Air Quality Division Director	
	Assistant Division Director
	Chief Engineer
	Environmental Program Manager III- Data and Planning
State Environmental Laboratory Services Director	
	Assistant Division Director
	Laboratory Customer Assistance Group Manager
	Inorganic Chemistry Group Manager
Environmental Complaints and Local Services Division Director	
	Assistant Division Director
	EPM III, Field Offices

	EPM III, Complaints
Land Protection Division Director	
	Assistant Division Director
	Chief Engineer
	Remediation Unit Program Manager
Water Quality Division Director	
	Assistant Division Director
	Division Environmental Programs Manager
	Division Engineer
General Counsel	
	Deputy General Counsel
	ECLS Supervising Attorney
	Litigation Coordinator
Emergency Response Coordinator	
	LPD Chemical Reporting Manager
	ECLS Assistant Director
	ECLS Division Director
Office of External Affairs Director	
	Assistant Division Director
	Senior Environmental Programs Manager
	EPM II

DELEGATIONS OF AUTHORITY

Air Quality Division

Administrative Processes
Division Director
Assistant Division Director
Engineering Manager IV

Tier I Permits
Eng. Manager IV
Eng. Manager Permitting (EM III)
Eng. Manager New Source Permit Section
Eng. Manager Existing Source Permit Section

Tier II Permits
Division Director
Eng. Manager IV
Eng. Manager Permitting(EM III)
Eng. Manager New Source Permit Section

Tier III Permits
Executive Director
Division Director
Eng. Manager IV
Eng. Manager Permitting (EM III)

Enforcement
Division Director
Environmental Programs Manager, Enforcement & Compliance
Assistant Division Director

Administrative Services

Administrative Processes
Division Director
Assistant Division Director
Chief Financial Officer
Human Resources and Records Management Administrator
Financial Manager/Comptroller IV

Purchasing Authority
Division Director
Financial Manager/Comptroller IV
Assistant Division Director

P-Card Purchasing
Chief Procurement Officer (Administrator)
Division Director (Approving Authority)

Contracts/Sole Sources One Signature Required
Executive Director
Division Director

Payroll Authority Two Signatures Required
Division Director
Assistant Division Director
Chief Financial Officer
Human Resources and Records Management Administrator
Financial Manager/Comptroller II

Process Agency Payroll
Human Resources and Records Management Administrator
Human Resources Manager III
Human Resources Management Specialist IV

Building Management
Building Operations Administrative Program Officer II
Assistant Division Director
Plant Manager
Division Director

Building Security

Criminal Investigation Unit
CIU Programs Manager III
Agency Deputy Director
Environmental Investigator

Legal Services

General Counsel
Deputy General Counsel
Supervising Attorney, ECLS
Litigation Coordinator

State Environmental Laboratory Services

Administrative Processes
Division Director
Assistant Division Director
Laboratory Customer Assistance Group Manager

Signatures for Official Laboratory Reports
Qualified Analyst
Laboratory Section Manager
Environmental Program Manager III

Assistant Division Director

Signatures for Laboratory Certification
Laboratory Certification Officer
Division Director
Assistant Division Director
Laboratory Certification Environmental/Chemical Scientist

Environmental Complaints and Local Services

Administrative Processes
Division Director
Assistant Division Director
Environmental Programs Manager III, Permitting

Signatures for Enforcement Actions
Division Director
Assistant Division Director
EPM III Field Offices
EPM III Programs Management

Signatures for Licenses/Certification
Division Director
Assistant Division Director
EPM III Permitting
EPM II Field Offices
EPM III Programs Management

Signatures for Alternative Systems
EPM III Permitting
Assistant Division Director
EPM II Onsite & TRL

Land Protection Division

Administrative Processes
Division Director
Assistant Division Director
Chief Engineer

Permit Authority
Division Director
Chief Engineer
Engineering Manager RCRA

Engineering Manager Solid Waste
Radiation Program Manager
Assistant Division Director

Emergency Approval of Waste Disposal
Division Director
Assistant Division Director
Chief Engineer
Engineering Manager RCRA
Engineering Manager Solid Waste
Radiation Manager

Emergency Purchasing Authority
Division Director
Assistant Division Director
Chief Engineer
Solid Waste and Sustainability Manager
Hazardous Waste and Radiation Manager
Remediation Unit Manager

Communication/Liaison
Division Director
Assistant Division Director

Chemical Reporting Manager
Solid Waste and Sustainability Manager
Hazardous Waste and Radiation Manager

Water Quality Division

Administrative Processes
Division Director
Assistant Division Director
Division Program Manager

Tier I Permits
Permit Section Manager
Permitting Group Manager
Division Engineer
Assistant Division Director

Tier II Permits		
Division Director/ADD	and	Permit Group Manager
DD/Assistant Division Director	and	Permit Section Manager
DD/ADD	and	Division Engineer

Tier III Permits
Executive Director
Division Director
Assistant Division Director
Division Engineer

Enforcement
Division Director
Assistant Division Director
Division Engineer
Enforcement Group Manager

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ANNEX F.   HUMAN RESOURCES

Human Resources Considerations

The DEQ continuity program incorporates existing organization-specific guidance and direction for human resources management, including guidance on pay, leave/time off, work scheduling, benefits, telework, hiring, authorities, and flexibilities. The HR Administrator has the responsibility for DEQ human resource issues.

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ANNEX G.   TEST, TRAINING, AND EXERCISES PROGRAM

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

CONTINUITY REQUIREMENT	QUARTERLY	SEMI-ANNUALLY	ANNUALLY	AS NEEDED
Test alert, notification, and activation procedures for all continuity personnel				X
Train continuity personnel on roles and responsibilities				X
Conduct continuity awareness briefings or orientation for the new staff		X		
Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities				X
Conduct assessment of organization's continuity plans and programs			X	
Conduct successor training for all organization personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation				X

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ANNEX H.   GLOSSARY

Activation – Once a continuity of operations plan has been implemented, whether in whole or in part, it is considered "activated."

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

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

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

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.

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

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

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

Continuity of Operations – An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions and Primary Mission Essential Functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

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

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

Corrective Action Program – An organized method to document and track improvement actions for a program. The Corrective Action Program (CAP) system is a web-based tool that enables Federal, State, and local emergency response and homeland security officials to develop, prioritize, track, and analyze corrective actions following exercises or real world incidents. Users may enter data from a finalized After Action Report/Improvement Plan, track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

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

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

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

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

Interoperable Communications – Communications that provide the capability to perform essential functions, in conjunction with other organizations/entities, under all conditions.

Leadership – The senior decision makers who have been elected (e.g., the President, State governors) or designated to head a branch of government or other organization.

Memorandum of Agreement/Memorandum of Understanding – Written agreement between departments/agencies that require specific goods or services to be furnished or tasks to be accomplished by one organization in support of the other.

Mission Essential Functions – The limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Orders of Succession – Provisions for the assumption by individuals of organization senior leadership positions during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Primary Operating Facility – The site of an organization's normal, day-to-day operations; the location where the employee usually goes to work.

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

Risk Analysis – The process by which risks are identified and evaluated.

Risk Assessment – 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 fraught with uncertainty.

Telework – The ability to work at a location other than the official duty station to perform work or emergency duties. This may include, but is not limited to, using portable computers, personal computers, high-speed telecommunications links, and mobile communications devices.

Testing, Training, and Exercises – Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity situation.

Virtual Offices – An environment where employees are not collocated and rely exclusively on information technologies to interact and conduct their work across distance from multiple geographic locations.

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

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ANNEX I.   AUTHORITIES AND REFERENCES

AUTHORITIES and REFERENCES:

1) Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 9, 2007.

2) Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013.

3) 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 September 2013.

4) FEMA Continuity of Operations Plan Template Instructions.

5) FEMA Continuity of Operations Plan Template.

6) FEMA Devolution Plan Template.

7) FEMA National Preparedness Directorate's Comprehensive Preparedness Guide 101, *Developing and Maintaining Emergency Operations Plans*, dated November 2010.

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ANNEX J.   **ACRONYMNS**

AAR	After Action Report
ASD	Administrative Services Division
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CGC	Continuity Guidance Circular
ERG	Emergency Relocation Group
ERS	Emergency Relocation Site
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
POC	Point of Contact
STTEF	State, Territorial, and Tribal Essential Function
TT&E	Test, Training, and Exercise

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ANNEX IMPLEMENTING INSTRUCTIONS

- *Operational Checklists: A checklist is a simple tool that ensures all required tasks are accomplished so that the organization 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.*

- Emergency Relocation Team Checklist and Essential Functions Checklist
- Delegations of Authority
- Orders of Succession
- Maps and directions to the continuity facility

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