



Continuity of Operations Implementation Guidance

Division of Emergency Management

Department of Community Affairs

TO: The Heads of Executive Departments and Agencies, the Public Service Commission, the Fish and Wildlife Conservation Commission, and the Executive Directors of the Water Management Districts

FROM: Division of Emergency Management, Department of Community Affairs

DATE: September 9, 2002

SUBJECT: Chapter No. 2002-43: Relating to Disaster Preparedness – Amends 252.365

I. Purpose

This Continuity of Operations (COOP) Implementation Guidance provides instruction to the Executive Branch of the State of Florida government to develop and implement disaster preparedness plans in accordance with the Florida Statutes, Chapter 252: *Emergency Management*. These plans shall address emergencies from an all-hazards approach and contain provisions that ensure the continued performance of the organization's mission essential functions.

II. Applicability and Scope

This guidance document is applicable to all State of Florida Executive Branch departments, agencies, commissions, water management districts, universities, prisons, and independent organizations, hereinafter referred to as "agencies." All office buildings and/or facilities owned, operated, or maintained by the State of Florida shall develop and implement comprehensive disaster preparedness plans.

III. Distribution

This guidance document shall be distributed to the heads of State of Florida agencies, senior policy officials, designated emergency coordination officers, county emergency management directors, emergency management planners, and other interested parties.

IV. Authorities

- A. Chapter 252, Florida Statutes (*Emergency Management*).
- B. Chapter No. 2002-43, Florida Statutes (*Relating to Disaster Preparedness*).
- C. Executive Order 80-29 (*Disaster Preparedness*), dated April 14, 1980.
- D. Executive Order 87-57 (*State Emergency Response Commission*), dated April 17, 1987; as updated by Executive Orders 98-153 and 98-155.

- E. Executive Order 01-262 (*Emergency Management*), dated September 11, 2001.
- F. Executive Order 01-300 (*Domestic Security*), dated October 11, 2001.

V. References

- A. Sections 14.055 – 14.056, Florida Statutes (*Governor*).
- B. Sections 22.01 – 23.127, Florida Statutes (*Emergency Continuity of Government*).
- C. Sections 23.12 – 23.127, Florida Statutes (*Florida Mutual Aid Act*).
- D. Section 163.01, Florida Statutes (*Inter local Cooperation Act of 1969*).
- E. Sections 250.540 – 250.549, Florida Statutes (*Military Affairs*).
- F. Sections 252.31 – 252.62, Florida Statutes (*Emergency Management Act*).
- G. Section 401.015, Florida Statutes (*Medical Telecommunications and Transportation*).
- H. Sections 870.01 – 870.06, Florida Statutes (*Affrays; Riots; and Unlawful Assemblies*).
- I. Chapter No. 2001-361, Florida Law (*Public Records/Security System Plan*), dated December 12, 2001.
- J. Chapter No. 2001-365, Florida Law (*Domestic Security/Counter-terrorism*), dated December 12, 2001.
- K. Chapter No. 2001-366, Florida Law (*Domestic Security/Counter-terrorism*), dated December 12, 2001.

VI. Policy

It is the policy of the State of Florida to be prepared to respond to any emergency or threat thereof which may disrupt operations within an agency or at a State facility. Emergencies are any unplanned event that can cause deaths or significant injuries to employees, customers or the public; or that can shut-down your organization, disrupt operations, cause physical or environmental damage, or harm the organization's public image. Emergencies may include: fire, hazmat incident, flooding, tornado, communications failure, radiological incident, civil disturbance, hurricane/tropical storm, explosion, "sick-building" syndrome, terrorist event.

This all-hazards planning approach minimizes vulnerabilities by the systematic development of an operational capability that is not dependent upon a facility. The probability (*likelihood that an incident will occur*), frequency (*how often an incident occurs*), and the severity (*impact of incident*) are factors which weigh heavily into COOP planning. Those things which could disrupt operations are evaluated based on criticality and probability.

Typically risk assessments determine that the most probable/frequent incidents are less severe and that the most severe events have lower probabilities and occur less often. This is the

reason why COOP planning must address the full range of scenarios. To maintain a viable COOP capability, each agency's plan must:

- Be maintained at a high level of readiness.
- Be capable of implementation both with and without warning.
- Be operational no later than 12 hours after activation.
- Maintain sustained operations for up to 30 days.
- Take maximum advantage of existing agency field infrastructures.

VII. Definition

COOP is an effort within individual departments and agencies to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternate facilities, personnel, resources, interoperable communications, and vital records/ databases.

VIII. Background

The changing threat paradigm and recent emergencies, including localized acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have shifted awareness to the need for viable Continuity of Operations (COOP) and Continuity of Government (COG) capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies in support of an enduring constitutional government. Additionally, the potential for terrorist use of weapons of mass destruction/disruption has emphasized the need to provide the Governor of Florida a capability that ensures continuity of essential government functions across the Florida Executive Branch.

COOP planning is simply a “good business practice” – part of the fundamental mission of all State agencies as responsible and reliable public institutions. The release of the Executive Order 01-262 on September 11, 2001 re-enforced the State government agencies' requirement to prepare disaster preparedness plans under Chapter 252.365, Florida Statutes, through their designated Emergency Coordination Officers (ECOs).

Prior to the unprecedented attacks on the United States of America on September 11, 2001, COOP planning was an individual agency responsibility primarily in response to an emergency within their own organization. The content, structure, and implementation of these plans was left to the discretion of each agency. However, with increased significance on homeland security, it is now imperative that the Florida State government ensure the integrity of constitutional authority through a comprehensive COG program supported by individual agency COOP capabilities.

Currently, the COG program derives authority from the State's *Comprehensive Emergency Management Plan* (CEMP), Section VI – Continuity of Government and from the State's *Survivable Crisis Management Plan* (SCM), Section III – Continuity of Government. Neither of

these sections establishes a strategic, unifying policy for the State of Florida for the quick restoration of civilian authority and essential government functions and services. Additionally, these sections do not provide any guidance to the State agencies for the preparation of COOP plans and the development of a viable capability.

The CEMP establishes the framework to ensure that Florida will be sufficiently prepared to manage all hazards. This plan outlines the roles and responsibilities of the State agencies, special districts, and Federal and local governments before, during, and after an event. The main focus of the CEMP has been on natural disasters with a recent addition of Annex B – *Terrorist Incident Response Plan*, which outlines the statewide program for Florida in the event of a terrorist/cyber attack. However, it does not make any provisions for the interruption, resumption, and reconstitution of critical government services under the following scenarios:

- A State agency is closed to normal business activities as a result of an event (whether or not originating in the State agency office) or credible threats of action that would preclude access or use of the State agency office and the surrounding area.
- The Tallahassee, Florida metropolitan area is closed to normal business activities as a result of a widespread utility failure, natural disaster, significant hazardous material incident, civil disturbance, or terrorist or military attack(s). Under this scenario there could be uncertainty regarding whether additional events such as secondary explosions, or cascading utility failures could occur, and many - if not all - State agencies will have to activate their respective COOP plans and relocate to alternate operating sites.

Therefore, the Governor signed Chapter No. 2002-43: *Relating to Disaster Preparedness*, into law on April 16, 2002, to ensure that Florida can meet the challenges of preparing a comprehensive State strategic policy, and develop and implement a coordinated state-wide program. Through this program, Florida can not only ensure the continued performance of mission essential functions, but can assure its place as a leader among the States as an effective body which is capable of serving its citizenry in the 21st Century.

IX. Objectives

The disaster preparedness plans, otherwise referred to as COOP plans, establish policy and guidance to ensure the execution of the State of Florida's mission essential functions in the event that Tallahassee or any agency or facility is threatened or incapacitated, and the relocation of selected State personnel and functions is required. COOP planning objectives include the following:

- A. Ensure the safety of personnel and visitors.
- B. Provide for the ability to continue essential operations.
- C. Contain provisions for the protection of critical equipment, records, and other assets.
- D. Maintain efforts to minimize damage and losses.
- E. Contain provisions for an orderly response and recovery from any incident.

- F. Serve as a foundation for the continued survival of leadership.
- G. Assure compliance with legal and statutory requirements.

X. Responsibilities

The following responsibilities should be clearly outlined in agency COOP planning guidance and internal documents:

- A. Each agency head is responsible for:
 - 1. Appointing a COOP Coordinator and providing the name and contact information of the individual(s) to the Executive Office of the Governor and the Division of Emergency Management, Department of Community Affairs. This position shall be staffed at the discretion of the agency's head, and may be the agency's designated Primary and/or Alternate Emergency Coordination Officer(s).
 - 2. Developing, approving, and maintaining agency COOP plans and procedures for headquarters and all subordinate elements, which provide for:
 - a. Identification of essential functions, programs, and personnel to include contingency staffing;
 - b. Procedures to implement the plan and personnel notification and accountability;
 - c. Delegations of authority and lines of succession;
 - d. Identification of alternative facilities and related infrastructure, including those for interoperable communications;
 - e. Identification and protection of vital records and databases; and,
 - f. Schedules and procedures for periodic tests, training, and exercises.
 - 3. Notifying the State Warning Point and other appropriate agencies upon activation of the agency's COOP plan.
 - 4. Developing and maintaining a COOP Multi-Year Strategy and Program Management Plan.
 - 5. Conducting tests and training of agency COOP plans through the development of a comprehensive test, training and exercising program to include participation in periodic COOP exercises to ensure effective interagency coordination and mutual support;
 - 6. Coordinating intra-agency COOP efforts and initiatives with policies, plans, and activities in accordance with the State's CEMP, Florida Statutes, Chapter 252: *Emergency Management*, and all applicable authorities.

7. Submitting an agency COOP Plan for approval to the Division of Emergency Management, Department of Community Affairs, on or before June 30, 2003.
- B. The Division of Emergency Management, Department of Community Affairs, is responsible for:
1. Serving as the lead agency for implementation of Florida Statutes, Chapter 252: *Emergency Management*.
 2. Coordinating COOP activities for the State Executive Branch agencies and providing technical assistance to the Legislative and Judicial Branches.
 3. Issuing COOP guidance, in accordance with the State's CEMP, Florida Statutes, Chapter 252: *Emergency Management*, and all applicable authorities to promote understanding and compliance with the requirements and objectives.
 4. Leading the State Emergency Response Team, which serves as the principal interagency forum for discussion of emergency management issues such as policy guidance, plans, and procedures, and for dissemination of information to agencies for developing and improving their individual COOP plans.
 5. Coordinating State Executive Branch interagency COOP exercises.
 6. Conducting periodic assessments of Executive Branch COOP capabilities and reporting the results to the Governor.
 7. Approving agency COOP plans submitted on or before June 30, 2003, and making recommendations for plan improvements to ensure compliance with the COOP Implementation Guidance.
- C. In addition, Local Emergency Management Officials are responsible for:
1. Certifying that applicable agency COOP plans are coordinated with local emergency management plans, procedures, and practices.
 2. Reporting problems or issues to the Division of Emergency Management, Department of Community Affairs, for resolution.

XI. Planning Assumptions

Agencies should develop and maintain their COOP capabilities using a multi-year strategy and program management plan. The plan should outline the process the agency will follow to designate essential functions and resources, define short and long-term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones. Specifically, COOP plans shall be designed to:

- A. Ensure that the agency is prepared to respond to emergencies, recover from them, and mitigate against their impacts.

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- B. Assure that the agency is prepared to provide critical services in an environment that is threatened, diminished, or incapacitated.
- C. Provide a means of information coordination to the Governor to ensure uninterrupted communication within the internal organization of the agency and externally to other State agencies and to all identified critical customers.
- D. Serve as intelligence collection and dissemination node for the agency.
- E. Provide timely direction, control, and coordination to the agency leadership, other State agencies, and other critical customers before, during, and after an event or upon notification of a credible threat.
- F. Establish and enact time-phased implementation procedures to activate various components of the plan to provide sufficient operational capabilities relative to the event or threat thereof for the agency.
- G. Facilitate the return of State government to normal operating conditions as soon as practical based on circumstances and the threat environment.
- H. Ensure that the agency's COOP plan is viable and operational, and that it remains compatible with Florida's Comprehensive Emergency Management Plan.

XII. Essential Elements of Viability

To ensure that all COOP plans have a baseline of preparedness and are capable of execution across the full range of potential emergencies, there are requisite elements each COOP program must have. As directed in Chapter 252.365, Florida Statutes, each Agency's COOP plan shall include the following elements:

- Plans and Procedures
- Mission Essential Functions
- Delegations of Authority
- Orders of Succession
- Alternate Facilities
- Interoperable Communications
- Vital Records and Databases
- Logistics and Administration
- Personnel Issues and Coordination
- Security¹
- Test, Training and Exercise
- Program Management¹

- A. Plans and Procedures – Each agency shall develop plans and procedures for alerting, notifying, activating, and deploying employees; performing mission essential functions; operating from an alternate facility; and rostering personnel with requisite authority and knowledge to perform every function.

¹ Although these elements are not required, it is strongly urged that each agency include specific provisions for each to prepare a comprehensive and implement able COOP plan. Detailed information on these two elements (Security and Program Management) is provided for use to develop and maintain a viable capability.

The COOP plan shall be developed and documented that when it is implemented it provides for the continued performance of the organization's critical operations under all circumstances. The following components shall be included in agency COOP plans and procedures:

1. Delineation of mission essential functions.
2. A decision process for activation.
3. A staff roster.
4. Procedures to ensure readiness – duty and non-duty hours, with and without warning.
5. Provisions for personnel accountability.
6. Reliable processes to acquire additional resources to sustain operations for 30 days
7. Provisions for attaining operational capability within 12 hours of activation.
8. Assumptions and constraints derived from the planning process, such as unusual operational issues, unique technology or personnel factors, special implementation characteristics, and/or resource limitations which affect the COOP plan.
9. Plan documentation contents which must:
 - a. Provide a purpose, objectives, applicability and scope, and authorities and references;
 - b. Describe the Concept of Operations (CONOP) and contain provisions for (1) Key Staff (2) Mission Essential Functions (3) Direction and Control (4) Alert and Notification;
 - c. List responsibilities and procedures;
 - d. Outline Phases of COOP: Activation, Alternate Operations, and Reconstitution and Termination; and,
 - e. Contain Annexes with detailed information on each of the essential elements.
10. Mechanisms for implementation according to the magnitude of the incident should also be included.

SPECIAL NOTE: In addition to the organizational COOP plan, it is strongly recommended that each agency prepare accompanying Standard Operating Procedures (SOPs), which establish applicable processes for coordinating activities with appropriate internal units and external organizations with the requisite resources. Each SOP should

ensure compliance with applicable statutes and authorities and remain consistent with the policy and guidance established in the organizational COOP plan. The SOPs should:

- Plan to notify customers of new work location, phone numbers, re-route US mail;
- Develop Site-Support Procedures for alternate facilities;
- Prepare procedures for acquiring resources necessary to sustain operations for up to 30 days; and,
- Ensure building evacuation and COOP plans are amalgamated

B. Mission Essential Functions – Each agency shall identify their mission essential functions as the foundation of the COOP planning. Mission essential functions are those that enable an organization to provide vital services, exercise civil authority, maintain safety and well-being of general populace, and sustain industrial and economic base in an emergency. Any functions not deemed mission essential should be deferred until additional personnel and resources become available. The COOP plan should integrate support activities to ensure that essential functions can be performed efficiently during emergency relocation. The following are steps necessary for the selection of mission essential functions:

1. Compile all organizational functions.
2. Determine criteria for selecting critical activities.
3. Identify mission essential functions.
4. Prioritize those functions.
5. Roster personnel to complete those functions based on skills and knowledge.
6. Assess alternate facility capacity based on functions and rosters.
7. Determine requisite resources and equipment.

C. Delegations of Authority – Each agency shall identify and maintain delegations of authority to ensure the rapid response to any emergency situation requiring COOP plan activation. Agencies shall pre-delegate authorities for making policy decisions at headquarters and regional levels as applicable. The delegations of authority shall:

1. Identify which authorities can and should be delegated.
2. Describe the circumstances under which the authorities would be exercised, including when they would become effective and terminate.
3. Document to whom authorities should be delegated.

4. Identify limitations of delegations.
 5. Ensure officials are prepared to perform their emergency duties.
- D. Orders of Succession – Each agency shall identify orders of succession for the agency heads and key leadership. The orders of succession are a critical part of the COOP plan, and agencies are responsible for establishing, disseminating, and maintaining the succession to key leadership positions. The orders should be of sufficient depth and geographical dispersion is encouraged. At a minimum the delegations of authority and order of succession should:
1. Establish an order of succession to the position of Agency head and develop rules and procedures to address:
 - a. Conditions for succession;
 - b. Method of notification; and,
 - c. Time, geographical, organizational limitations.
 2. Describe succession order by position or titles rather than by person.
 3. Establish succession for key leadership positions within the organization at both headquarters and in the regions.
 4. Consider assigning successors among the contingency staff to ensure that each team has an equitable share of the duly constituted leadership.
 5. Ensure officials are prepared to perform their emergency duties.
 6. Revise and distribute orders as necessary.
- E. Alternate Facilities – The COOP plan should designate an alternate operating facility. The facility may be identified from existing organization infrastructures or external sources. The facility should have sufficient space and equipment to maintain the COOP team and be capable of sustaining operations for up to 30 days (with resource acquisition). The alternate facility should have reliable logistical support, services, and infrastructure systems (water, electrical power, HVAC, etc.). Consideration for the health, safety, and emotional well-being of the COOP team should be used when selecting the facility. In addition, the selection process should include deliberations on the appropriate physical security and personnel access control measures.

Agencies should consider pre-positioning minimum essential equipment at the alternate facility. In addition, agencies should coordinate with the alternate facility manager to develop *Alternate Facility Support Procedures* to ensure that the alternate facility is able to accept the COOP team and prepared to support COOP operations for up to 30 days.

The alternate facility shall be capable of supporting agency operations. At a minimum each organization should:

1. Identify from existing agency facilities, if applicable.
 2. Consider cooperative agreements, sharing with other agencies and virtual office technologies.
 3. Ensure sufficient space and equipment to accommodate the relocating personnel.
 4. Provide for reliable logistical support, services, and infrastructure systems.
 5. Ensure the ability to sustain operations for a period of up to 30 days.
 6. Consider pre-positioning assets and resources at facility.
 7. Ensure appropriate physical security and access controls.
- F. Interoperable Communications – Each agency should take maximum advantage of the advances in technology now available and consider the full spectrum of communications – landline, cellular, satellite, wireless, etc. The communications capability should be commensurate with the organization’s operations and provide for access to other data and systems required to perform the mission essential functions.

Redundancy of communications is vital and the capability should be developed to sufficient depth to assure availability. Within the COOP plan, interoperable communications shall at a minimum:

1. Identify the data and communications systems to support mission essential functions.
 2. Ensure availability at alternate facility at appropriate level for each of the following:
 - Voice and fax (POTS)
 - Cellular
 - Satellite
 - Emergency systems (NAWAS, EAS, etc.), if necessary
 - Data systems
 - Secure communication, if necessary
 - Internet and email
 3. Provide for both internal and external communications.
 4. Consider mobile communications capabilities.
- G. Vital Records and Databases – Each agency should provide for the protection and availability of electronic and hardcopy (as applicable) of documents, references, records,

information systems, and databases. The COOP plan should account for the identification and protection of vital records and databases at both the primary facility and alternate facility.

To the extent possible, agencies should provide for: off-site storage of duplicate records, off-site back-up or electronic records and databases, and pre-positioning of vital records and databases at the alternate facility. A maintenance program to assure the records are current should also be instituted. Safekeeping and pre-positioning systems and data is critical to alternate operations, hence each organization shall at a minimum:

1. Identify vital records, systems, and data (hard copy and electronic) critical to performing functions.
 - a. Emergency operating records – plans and directives, orders of succession, delegations of authority, staffing assignments.
 - b. Legal and financial records – personnel records, Social Security records, payroll records, retirement records, insurance records, contract records.
 2. Plan for protection, duplication, and movement of records.
 3. Preposition resources and systems prior to deployment.
 4. Ensure accuracy and currency of records, update as necessary.
 5. Ensure procedures for documenting operations when COOP is activated.
 6. Assure agency's Disaster Recovery Plans are capable of supporting COOP activities in accordance with Florida Statutes, Chapter 282: *Communications and Data Processing*.
- H. Logistics and Administration – Each agency should determine to what level they can self-sustain their emergency operations and then develop procedures to acquire services, personnel, resources, and equipment necessary to perform the mission essential functions. Mutual aid and assistance should be considered. Agencies should establish memorandums of agreement/understanding with any entity that will be utilized.

Materials and equipment which will be needed immediately upon COOP activation shall be identified and measures to assure their availability under all circumstances must be developed. Each agency shall ensure the preparation, off-site storage, and regular maintenance of materials and equipment contained in drive-away kits. Offsite storage of materials and equipment is required to ensure availability of assets. The COOP plan shall at a minimum:

1. Identify, pre-position, and maintain equipment and other resources required at alternate site, e.g.,
 - Computer equipment and software
 - Office supplies
 - File cabinets, desks, chairs, etc.
 - Vehicles

2. Prepare and pre-position Drive-Away Kits.
 3. Provide for telecommunications and information technology support at an alternate facility.
 4. Establish provisions for personnel transportation (parking), lodging, and dining at alternate facility.
 5. Prepare and maintain Site-Support Procedures which identify the initial requirements for receiving, supporting, and relocating personnel to alternate facility.
- I. Personnel Issues and Coordination – Agencies should plan to provide critical information to both essential and non-essential staff and inform employees how to prepare themselves and their families prior to an emergency. Personnel issues have the potential to negatively impact an organization’s COOP performance. A communications plan for essential and non-essential staff shall in coordination with appropriate entities. Personal preparedness kits and plans are essential for all staff. At a minimum, agency COOP plans shall address the following components:
1. Prepare communications plan to disseminate information to essential and non-essential personnel.
 2. Address the health, safety, emotional well-being of all employees and their families.
 3. Assure personal preparedness for staff through “personal go-kits.”
 4. Address pay status, administrative leave, and layoffs.
 5. Address medical, special needs, and travel issues.
- J. Security – Each agency should ensure that all four types of security are addressed – Operational, Cyber, Physical, and Access Controls. Each measure should be incorporated into a comprehensive plan to assure the security of the COOP program and their primary and alternate facilities. A COOP plan is not a classified document, but it is extremely sensitive information – distribution should be limited. Agencies should consider using Chapter No 2001-361, FL Law (formerly Senate Bill 16-C) to provide a public records exemption for their plans. Each agency should:
1. Establish Operational Security and Cyber Guidelines for the handling of COOP Plan and SOPs, consider restricting information through limited distribution of documents.
 2. Address physical security of current office and at alternate facility.
 3. Enact personnel access controls for employees and critical customers.
 4. Address security of communications, if appropriate.
 5. Be prepared to augment all security levels based on the emergency or the threat.

- K. Test, Training and Exercise – Agencies shall develop a comprehensive Test, Training, and Exercise program to validate policies, plans, and procedures, ensure that personnel are sufficiently trained, and verify that resources and equipment are capable of supporting operations.

Training and orientation curriculum should be instituted to create awareness and enhance the skills required to develop, implement, maintain, and execute the COOP program. It is recommended that staff also be trained in the Incident Command System (ICS) to assure familiarity with the conduct of emergency operations.

Each element of the COOP program should be evaluated through a combination of different tests and exercises, and agencies should establish procedures to ensure that the information obtained from their program is incorporated into a remedial action process. At a minimum, the organization should:

1. Conduct orientation and training for identified COOP personnel (individual/team).
 2. Periodically test alert and notification procedures.
 3. Plan periodic exercise of operational plans, alternate facilities, and interoperable communications.
 4. Plan joint agency exercises.
 5. Periodically validate and test equipment.
 6. Establish remedial action plan/process.
 7. Update plans and procedures as appropriate or annually.
- L. Program Management – Each agency should prepare and employ a strategic and multi-year planning process that includes anticipated funding requirements. The plan should define vision, mission, goals, and objectives of program. This document is crucial to the development, maintenance, performance, and operation of the overall program.

The plan should identify a current inventory of internal/external resources, resource capability shortfalls and steps necessary to overcome them, and operation and maintenance costs. The program's costs should be calculated for both program dollars and labor. Agencies at a minimum shall:

1. Prepare a strategic, long-range plan to ensure consistent and constant development towards full operational capability; include milestones to gauge progress.
2. Establish a coordinated program management process to ensure maintenance, operation, and funding for a viable COOP capability.
3. Update the plan as necessary.

XIII. Plan Execution

Emergencies, or potential emergencies, may affect the ability of State agencies’ to perform their mission essential functions from their primary location. Relocation may be required to accommodate a variety of emergency scenarios, examples include:

- An agency headquarters is unavailable and operations can shift to a regional, field, or other location;
- A single agency facility is temporarily unavailable and the agency can share one of its own facilities or that of another agency; and,
- Many, if not all, agencies must evacuate the immediate Tallahassee, Florida, area.

Any of these scenarios entails facility unavailability; however, it is imperative to make the distinction between a situation requiring **building evacuation only** and one dictating the **necessity to activate the agency’s COOP plan**.

A COOP plan includes the premeditated movement of selected key principals and supporting staff to an alternate facility, for example – a sudden emergency, such as a fire or hazardous materials incident, may require the evacuation of an agency building with little or no advanced notice, but for only a short duration would not automatically necessitate the activation of a COOP plan unless the facility is rendered untenable. An emergency with severe impacts which does render the facility unusable for a time frame long enough to affect normal operations, will likely justify and may require that the agency’s COOP plan be activated.

Agencies are encouraged to develop an executive decision process that would allow for an analysis of the emergency situation and provide for a deliberative decision-making process to determine the best course of action for response and recovery. This decision-making process will ensure that the agency does not activate its COOP plan prematurely and/or inappropriately activation of an agency COOP plan. A suggested approach to ensuring a logical sequence of events in activating a COOP plan is Time-Phased Implementation which is outlined below.

A. Phase I – Activation (0 to 12 hours)

1. *Alert and Notification Procedures* – establishes specific actions to alert and notify key staff, non-essential personnel, and critical customers that COOP activation is imminent. This component requires various notifications to the following entities:
 - a. Alternate facility manager(s) of impending activation and actual relocation requirements;
 - b. State Warning Point; (800) 320-0519 and other appropriate agencies of the decision to relocate and the anticipated time of arrival at the alternate facility; and,
 - c. Advance and contingency teams of the COOP plan activation.

2. *Initial Actions* – specific actions to terminate primary operations and activate key staff, communications links, and the alternate facility. Agencies should also implement their procedures to provide instruction to both essential but particularly non-essential personnel on what they are to do.
 3. *Activation Procedures Duty Hours* – provides specific actions for an efficient and complete transition of direction and control from primary facility to the alternate facility, and includes measures for security at both sites. The procedures should be complementary to your organization’s Building Evacuation Plans.
 4. *Activation Procedures Non-Duty Hours* – details key staff notification when not at primary site.
 5. *Deployment and Departure Procedures: Time-Phased Operations* – allowances for partial pre-deployment of any essential functions which are critical to operations and determination should be based on the level of threat. Establishes administrative procedures to allow for travel and transportation to the alternate facility.
 6. *Transition to Alternate Operations* – establishes the minimum standards for communication, direction and control to be maintained until the alternate facility is operational. During this phase, agencies should also implement procedures for the following:
 - a. Activation of plans, procedures, and schedules to transfer activities, personnel, records, and equipment to alternate facility;
 - b. Transportation of documents and designated communications, automated data processing, and other equipment to the alternate facility), if applicable; and.
 - c. Securing the normal operating facility physical plant and non-moveable equipment and records, to the extent possible.
 7. *Site-Support Responsibilities* – activation of alternate facility, procedures should include provision for notification to alternate facility manager to ready site for operations. Actions include the following:
 - a. Assembling necessary documents and equipment required to continue performance of essential operations at alternate facility;
 - b. Ordering equipment/supplies, if not already in place; and,
 - c. Continuing essential operations at the normal operating facility if available, until alternate facility is operational.
- B. Phase II – Alternate Operations (12 hours to Termination)
1. *Execution of Mission Essential Functions* – performance of any essential functions determined to be critical to operations.

2. *Establishment of Communications* – re-establish normal lines of communication to all critical customers. Notify the State Warning Point and all other appropriate agencies immediately of the agency’s alternate location, operational and communications status, and anticipated duration of relocation, if known.
 3. *Contingency Staff Responsibilities* – assign responsibilities to key staff to perform mission essential functions. Advance Team and COOP Team roles and responsibilities should be included.
 4. *Augmentation of Staff* – determine if current staffing meets the workload to perform mission essential functions, and activate additional staff as necessary.
 5. *Amplification of Guidance to Essential and Non-Essential Personnel* – provide additional guidance to all personnel in regards to duration of alternate operations and include pertinent information on payroll, time and attendance, duty assignments, etc.
 6. *Development of Plans and Schedules for Reconstitution and Termination* – immediately begin preparation of communication and vital records and databases procedures to transfer back to primary facility. Circumstances may dictate that a new primary facility is designated and subsequently occupied.
- C. Phase III – Reconstitution and Termination (Cessation to Return to Normal Operations)
1. *Overview* – provides general guidance and policy on ending alternate operations and returning to a non-emergency status at the designated primary facility. These procedures should inform all personnel, including non-emergency personnel, that the threat of or actual emergency no longer exists, and provide instructions for resumption of normal operations.
 2. *Procedures* – establishes specific actions to ensure a timely and efficient transition of communications, direction and control, and transfer of vital records and databases to primary facility. These procedures developed while at the alternate facility should manage an orderly return to the normal operating facility, or movement to other temporary or permanent facility) using a phased approach if conditions necessitate. Agencies should report the status of their relocation to the State Warning Point and other appropriate organizations.
 3. *After-Action Review and Remedial Action Plans* – develop task force to assess all phases and elements of the alternate operations and provide specific solutions to correct any areas of concern.

W. Craig Fugate,
Director