

**SA 2: COOP-COG**

**Table of Contents**

**SA 2: COOP-COG.....i**

**1.0 Introduction ..... 1**

    1.1 Purpose..... 2

    1.2 Scope..... 2

    1.3 ESF Activation & Plan Maintenance ..... 2

    1.4 Policies..... 2

**2.0 Situation & Assumptions ..... 2**

    2.1 Situation ..... 2

    2.2 Assumption ..... 3

**3.0 Concept of Operations ..... 3**

    3.1 General..... 3

        Objectives ..... 3

        Planning Considerations ..... 4

    3.2 Notifications ..... 4

    3.3 Preparedness ..... 5

        Plans and Procedures..... 5

        Identification of Essential Functions..... 5

        Delegation of Authority..... 5

        Orders of Succession ..... 6

        Alternate Facilities ..... 7

        Interoperable Communications ..... 7

        Vital Records and Databases ..... 8

        Tests, Training and Exercises ..... 8

    3.4 Response ..... 9

        COOP Implementation ..... 9

    3.5 Recovery ..... 11

    3.6 Mitigation..... 11

**4.0 Organization & Responsibilities ..... 11**

    4.1 Organization ..... 11

    4.2 Responsibilities ..... 11

        Chief Elected Officials..... 11

        Agency/Department Heads ..... 11

        All Agencies & Departments..... 12

        DES Coordinator (DESC)..... 12

        Montana Disaster & Emergency Services (DES)..... 13

        Federal Emergency Management Agency (FEMA) ..... 13

**5.0 Authorities and References ..... 13**

    5.1 Authorities..... 13

**Section III: Support Annexes**

---

5.2 References ..... 13

**6.0 Attachments ..... 14**

**Attachment 1: Acronyms ..... 15**

**Attachment 2: Definitions ..... 16**

**Attachment 3: COOP/COG Planning Documents & Templates ..... 19**

### 1.0 Introduction

#### Coordinating Agencies:

- Lewis & Clark County Commission
- Helena City Commission
- East Helena City Council
- Lewis & Clark County Disaster & Emergency Services

#### Cooperating Agencies:

- All City & County Departments
- Montana Disaster & Emergency Services

**Continuity of Government (COG)** is an essential function of emergency management and is vital during an emergency/disaster situation. All levels of government (federal, tribal, state, and local) share a constitutional responsibility to preserve the life and property of their citizens. Continuity of government is defined as the preservation, maintenance, or reconstitution of the civil government's ability to carry out its constitutional responsibilities.

**Continuity of Operations (COOP)** are the activities of individual department/agency that are key to ensure that critical essential functions are performed to meet the definition of continuity of government. The specific objectives of COOP are to:

- ❖ Ensure the continuous performance of a department or agency's essential functions during an emergency.
- ❖ Ensure the safety of employees and the public.
- ❖ Protect essential equipment, records and other assets.
- ❖ Reduce disruptions to operations.
- ❖ Minimize damage and losses.
- ❖ Achieve an orderly recovery from emergency operations.
- ❖ Identify relocation sites and ensure operation and managerial requirements are met before an emergency occurs.

It is believed that effective COOP planning facilitates the performance of department essential functions during any emergency or situation that may disrupt normal operations. Therefore, development and execution of agency and department COOP plans should provide for the continued operation and continuity of Local government and its essential functions during and after an emergency or disaster and help to ensure the preservation of public and other records essential to the continued operations of the Local government.

Or, simply stated, Continuity of Government as a whole should be a result of effective COOP planning at the agency and department level.

## Section III: Support Annexes

---

### 1.1 Purpose

The purpose of this annex is to provide guidance for the County/City to use in developing viable and executable Continuity of Operations (COOP) plans.

### 1.2 Scope

This annex applies to local government entities in Lewis & Clark County and the incorporated cities of Helena & East Helena.

### 1.3 ESF Activation & Plan Maintenance

This annex is designed to be a guidance document for Lewis and Clark County and, the City of Helena in preparing the Continuity of Operations (COOP) plans. As such, it is considered a preparedness document rather than a response or recovery document and will not likely be activated during an emergency or disaster.

The primary responsibility for development and maintenance of this annex is that of LCCO DES with support from all supporting agencies and departments.

This annex should be reviewed and revised annually, unless significant changes warrant earlier revision. Continued and regular revision and updating should keep this document valid and useful. Regular testing and exercising should establish the groundwork for efficient and expeditious delivery of assistance in times of emergency or disaster.

### 1.4 Policies

- ❖ This annex is effective immediately upon approval.
- ❖ The Commissioners have the authority to declare a State of Emergency within their jurisdictions and the responsibility to request a state or federal declaration if appropriate. *Requests for State or Federal assistance must go through the DESC.*
- ❖ Lewis and County/City of Helena is responsible for the development and maintenance of the Continuity of Operations (COOP) plans and notification procedures. No part of this annex is intended to supplant agency SOP/SOGs.
- ❖ All County/City Departments are responsible for filling any important vacancies; recalling personnel from leave, if appropriate; and, alerting those who are absent due to other duties or assignments.
- ❖ Personnel designated as the emergency response group (essential personnel) should make prior arrangements to ensure that their families are provided for in the event of an emergency, so to ensure a prompt, worry-free response and subsequent duty.

## 2.0 Situation & Assumptions

### 2.1 Situation

- ❖ Man-made or natural disasters may threaten the functional capability of local government through the potential destruction of or harm to government personnel, facilities, critical systems, resources, and vital records.

## Section III: Support Annexes

- ❖ In order to ensure continuity of government and the uninterrupted provision of essential governmental functions, contingency plans must be developed that will provide for the continued protection and safety of the population and bring about the prompt and orderly restoration and recovery of public and private property and services.

### 2.2 Assumption

- ❖ Even during disasters and emergencies, there is an expectation by the public that government will continue to provide its normal services.
- ❖ Those services that directly impact the preservation of life, property, and the environment will be given the highest priorities for receiving resources.
- ❖ Local Government may be competing with business industry and the public in general, for limited resources after a disaster which could delay the recovery of local services.
- ❖ Each department and agency will participate in emergency preparedness planning, training and promotion as a core component of their mission.
- ❖ Each department and agency will maintain a continuing program to encourage individual preparedness and promote a culture of preparedness for its employees.

## 3.0 Concept of Operations

### 3.1 General

COOP planning is simply a “good business practice”—part of the fundamental mission of agencies as responsible and reliable public institutions. For years, COOP planning had been an individual agency responsibility primarily in response to emergencies within the confines of the organization. The content and structure of COOP plans, operational standards, and inter-agency coordination, if any, were left to the discretion of the agency.

The changing threat environment 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 COOP capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies as a unified government agency. Also, the potential for terrorist use of weapons of mass destruction has emphasized the need to provide leaders a capability which ensures continuity of essential government functions.

#### Objectives

COOP planning is an effort to assure that the capability exists to continue mission essential functions across a wide range of potential emergencies. The objectives of a COOP plan include:

- ❖ Ensuring essential functions can be performed under all conditions.
- ❖ Reducing loss of life, minimizing property damage and losses.

## Section III: Support Annexes

---

- ❖ 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.
- ❖ Reducing or mitigating disruptions to operations.
- ❖ Ensuring the organization has facilities where it can continue to perform its essential functions, as appropriate, during a continuity event.
- ❖ Protecting essential facilities, equipment, records, and other assets, in the event of a disruption.
- ❖ Achieving the organization's timely and orderly recovery and reconstitution from an emergency.
- ❖ Ensuring and validating continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise (TT&E) program and operational capability.

### **Planning Considerations**

In accordance with current guidance, a viable COOP capability:

- ❖ Must be maintained at a high level of readiness;
- ❖ Must be capable of implementation both with and without warning;
- ❖ Must be operational no later than 12 hours after activation;
- ❖ Must maintain sustained operations for up to 30 days; and,
- ❖ Should take maximum advantage of existing agency field infrastructures.

Lewis and Clark County/City of Helena should develop and maintain their COOP capabilities using a multi-year strategy and program management plan. The plan should outline the process the County 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.

One approach to ensuring a logical sequence of events in developing and implementing a COOP plan is time phasing. The FEMA suggested time-phased approach for COOP activation and relocation, alternate facility operations, and reconstitution follows:

- ❖ Phase I: Readiness & Preparedness
- ❖ Phase II: Activation & Relocation
- ❖ Phase III: Continuity of Operations
- ❖ Phase IV: Reconstitution Operations

These phases will be addressed in the following sections.

### **3.2 Notifications**

The Lewis and Clark County/City of Helena COOP plan should identify notification and recall procedures for staff as part of their PHASE II planning.

## Section III: Support Annexes

---

### 3.3 Preparedness

At a minimum, PHASE I COOP capabilities should encompass the following elements:

#### **Plans and Procedures**

A COOP plan should be developed and documented that when implemented, will provide for continued performance of essential county functions under all circumstances. At a minimum, the plan should:

- ❖ Delineate essential functions and activities;
- ❖ Outline a decision process for determining appropriate actions in implementing COOP plans and procedures/guidelines;
- ❖ Establish a roster of fully equipped and trained emergency personnel with the authority to perform essential functions and activities;
- ❖ Include procedures/guidelines for employee advisories, alerts, and COOP plan activation, with instructions for relocation to pre-designated facilities, with and without warning, during duty and non-duty hours;
- ❖ Provide for personnel accountability throughout the duration of the emergency;
- ❖ Provide for attaining operational capability within 12 hours; and,
- ❖ Establish reliable processes and procedures/guidelines to acquire resources necessary to continue essential functions and sustain operations for up to 30 days.

#### **Identification of Essential Functions**

All agencies should identify their mission essential functions as the basis for COOP planning. Mission essential functions are those functions that enable government agencies to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency. In identifying essential functions, agencies should:

- ❖ Identify all functions performed by the agency, then determine which must be continued under all circumstances;
- ❖ Prioritize these essential functions;
- ❖ Establish staffing and resources requirements needed to perform essential functions;
- ❖ Identify mission critical data and systems necessary to conduct essential functions;
- ❖ Defer functions not deemed essential to immediate agency needs until additional personnel and resources become available; and,
- ❖ Integrate supporting activities to ensure that essential functions can be performed as efficiently as possible during emergency relocation.

#### **Delegation of Authority**

To ensure rapid response to any emergency situation requiring COOP plan implementation, County/City departments should predelegate authorities for making policy determinations and decisions at

## **Section III: Support Annexes**

---

headquarters, field levels, and other organizational locations, as appropriate. These delegations of authority should:

- ❖ Identify the programs and administrative authorities needed for effective operations at all organizational levels having emergency responsibilities;
- ❖ Identify the circumstances under which the authorities would be exercised;
- ❖ Document the necessary authorities at all points where emergency actions may be required, delineating the limits of authority and accountability;
- ❖ State explicitly the authority of designated successors to exercise agency direction, including any exceptions, and the successor's authority to re-delegate functions and activities as appropriate;
- ❖ Indicate the circumstances under which delegated authorities would become effective and when they would terminate. Generally, pre-determined delegations of authority would take effect when normal channels of direction are disrupted and would terminate when these channels have resumed;
- ❖ Ensure that officials who may be expected to assume authorities in an emergency are trained to carry out their emergency duties; and,
- ❖ Specify responsibilities and authorities of individual agency representatives designated to participate as members of emergency response teams.

### **Orders of Succession**

All departments are responsible for establishing, promulgating, and maintaining orders of succession to key positions. Such orders of succession are an essential part of an agency's COOP plan. Orders should be of sufficient depth to ensure the agency's ability to perform essential functions while remaining a viable part of the local government through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to office in emergencies of all types. Each agency should:

- ❖ Establish an order of succession to the position of Agency Head;
- ❖ Establish orders of succession to other key headquarters leadership positions;
- ❖ Identify any limitation of authority based on delegations of authority to others;
- ❖ Describe orders of succession by the names of individuals;
- ❖ Include the orders of succession in the vital records of the agency;
- ❖ Revise orders of succession as necessary, and distribute revised versions promptly as changes occur;
- ❖ Establish the rules and procedures/guidelines designated officials are to follow when facing the issues of succession to office in emergency situations;
- ❖ Include in succession procedures/guidelines the conditions under which succession should take place; method of notification; and any temporal, geographical, or organizational limitations of authorities;



## **Section III: Support Annexes**

---

- ❖ Assign successors, to the extent possible, among the emergency teams established to perform essential functions, to ensure that each team has an equitable share of duly constituted leadership; and,
- ❖ Conduct orientation programs to prepare successors for their emergency duties.

### **Alternate Facilities**

The Lewis and Clark County/City of Helena COOP will designate alternate operating facilities as part of their COOP plans, and prepare their personnel for the possibility of unannounced relocation of essential functions and/or COOP contingency staffs to these facilities. Facilities may be identified from existing agency local or field infrastructures, or external sources. Facilities should be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility, a favorable assessment of the local threat, and/or the collective protection characteristics of the facility. In acquiring and equipping such facilities, agencies are encouraged to consider cooperative inter-agency agreements and promote sharing of identified alternate facilities. Alternate facilities should provide:

- ❖ Immediate capability to perform essential functions under various threat conditions, including threats involving weapons of mass destruction;
- ❖ Sufficient space and equipment to sustain the relocating organization. Since the need to relocate may occur without warning, or access to normal operating facilities may be denied, agencies are encouraged to pre-position and maintain minimum essential equipment for continued operations at the alternate operating facilities;
- ❖ Interoperable communications with all identified essential internal and external organizations, critical customers, and the public;
- ❖ Reliable logistical support, services, and infrastructure systems, including water, electrical power, heating and air conditioning, etc.
- ❖ Ability to sustain operations for a period of up to 30 days;
- ❖ Consideration for the health, safety, and emotional well-being of relocated employees; and,
- ❖ Appropriate physical security and access controls.

### **Interoperable Communications**

The success of agency operations at an alternate facility is absolutely dependent upon the availability and redundancy of critical communications systems to support connectivity to internal organizations, other agencies, critical customers, and the public. When identifying communications requirements, agencies should take maximum advantage of the entire spectrum of communications media likely to be available in any emergency situation. These services may include, but are not limited to: secure and/or non-secure voice, fax, and data connectivity; Internet access; and e-mail. Interoperable communications should provide:

- ❖ Capability commensurate with an agency's essential functions and activities;

## **Section III: Support Annexes**

---

- ❖ Ability to communicate with COOP contingency staffs, management, and other organizational components;
- ❖ Ability to communicate with other agencies and emergency personnel; and,
- ❖ Access to other data and systems necessary to conduct essential activities and functions.

### **Vital Records and Databases**

The protection and ready availability of electronic and hardcopy documents, references, records, and information systems needed to support essential functions under the full spectrum of emergencies is another critical element of a successful COOP plan. County/City personnel must have access to and be able to use these records and systems in conducting their essential functions. Categories of these types of records may include:

- ❖ **Emergency Operating Records.** Vital records, regardless of media, essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives; orders of succession; delegations of authority; staffing assignments; and related records of a policy or procedural nature that provide agency staff with guidance and information resources necessary for conducting operations during an emergency, and for resuming formal operations at its conclusion.
- ❖ **Legal and Financial Records.** Vital records, regardless of media, critical to carrying out an organization's essential legal and financial functions and activities, and protecting the legal and financial rights of individuals directly affected by its activities. Included are records having such value that their loss would significantly impair the conduct of essential agency functions, to the detriment of the legal or financial rights or entitlements of the organization or of the affected individuals. Examples of this category of vital records are accounts receivable; contracting and acquisition files; official personnel files; Social Security, payroll, retirement, and insurance records; and property management and inventory records.

Plans should account for identification and protection of the vital records, systems, and data management software and equipment, to include classified or sensitive data as applicable, necessary to perform essential functions and activities, and to reconstitute normal agency operations after the emergency. To the extent possible, agencies should pre-position and update on a regular basis duplicate records or back-up electronic files.

### **Tests, Training and Exercises**

Testing, training, and exercising of COOP capabilities are essential to demonstrating and improving the ability of agencies to execute their COOP plans. Training familiarizes contingency staff members with the essential functions they may have to perform in an emergency. Tests and exercises serve to validate, or identify for subsequent correction, specific aspects of COOP plans, policies, procedures/guidelines, systems, and facilities used in response to an emergency situation. Periodic testing also ensures that equipment and procedures are maintained in a constant state of readiness. All agencies should plan and

## **Section III: Support Annexes**

---

conduct tests and training to demonstrate viability and interoperability of COOP plans. COOP test, training, and exercise plans should provide for:

- ❖ Individual and team training of agency COOP contingency staffs and emergency personnel to ensure currency of knowledge and integration of skills necessary to implement COOP plans and carry out essential functions. Team training should be conducted at least annually for COOP contingency staffs on their respective COOP responsibilities;
- ❖ Internal agency testing and exercising of COOP plans and procedures/guidelines to ensure the ability to perform essential functions and operate from designated alternate facility(ies). This testing and exercising should occur at least annually;
- ❖ Testing of alert and notification procedures and systems for any type of emergency at least quarterly;
- ❖ Refresher orientation for COOP contingency staffs arriving at an alternate operating facility. The orientation should cover the support and services available at the facility, including communications and information systems for exchanging information if the normal operating facility is still functioning; and administrative matters, including supervision, security, and personnel policies; and,
- ❖ Joint agency exercising of COOP plans, where applicable and feasible.

### **3.4 Response**

#### **COOP Implementation**

As mentioned in previously FEMA suggests using a phased approach to developing and implementing a COOP Plan. Phase I falls under “Preparedness” while Phases II-III activities are as follows:

#### **PHASE II—ACTIVATION AND RELOCATION (0-12 HOURS)**

- ❖ Notify alternate facility manager(s) of impending activation and actual relocation requirements;
- ❖ Notify the Emergency Operations Center, and other appropriate agencies of the decision to relocate and the time of execution or activation of call-down procedures;
- ❖ Activate plans, procedures/guidelines, and schedules to transfer activities, personnel, records, and equipment to alternate operating facility(ies);
- ❖ Notify the emergency response group to relocate under the direction of the director of emergency response group;
- ❖ Instruct all non-emergency personnel on what they are to do;
- ❖ Assemble necessary documents and equipment required to continue performance of essential operations at alternate operating facility(ies);
- ❖ Order equipment/supplies, if not already in place;
- ❖ Transport documents and designated communications, automated data processing, and other equipment to the alternate operating facility(ies), if applicable;

## Section III: Support Annexes

---

- ❖ Secure the normal operating facility physical plant and non-moveable equipment and records, to the extent possible;
- ❖ Continue essential operations at the normal operating facility if available, until alternate facility(ies) is operational; and,
- ❖ Advise alternate operating facility manager(s) on the status of follow-on personnel.
- ❖ Relocation may be required to accommodate a variety of emergency scenarios. Examples include scenarios in which:
  - ◆ County/City headquarters is unavailable and operations can shift to a field location;
  - ◆ A County/City 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 jurisdictional area.

While any of these scenarios involves unavailability of a facility, the distinction must be made between a situation requiring evacuation only and one dictating the need to implement COOP plans. A COOP plan includes the deliberate and pre-planned movement of the emergency response group to a relocation facility. As an 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. Alternatively, an emergency so severe that an agency facility is rendered unusable and likely will be for a period long enough to significantly impact normal operations, may require COOP plan implementation. The County/City should develop an executive decision process that would allow for a review of the emergency and determination of the best course of action for response and recovery. This should preclude premature or inappropriate activation of an agency COOP plan.

### **PHASE III—CONTINUITY OPERATIONS (12 HOURS - TERMINATION)**

- ❖ Provide amplifying guidance to other key staff and non-emergency employees;
- ❖ Identify replacements for missing personnel and request augmentation as necessary;
- ❖ Commence full execution of essential operations at alternate operating facility(ies);
- ❖ Notify the EOC and all other appropriate agencies immediately of the agency's alternate location, operational and communications status, and anticipated duration of relocation, if known; and,
- ❖ Develop plans and schedules to phase down alternate facility(ies) operations and return activities, personnel, records, and equipment to the primary facility when appropriate.

## Section III: Support Annexes

### 3.5 Recovery

#### PHASE IV—RECONSTITUTION (TERMINATION AND RETURN TO NORMAL OPERATIONS)

- ❖ 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;
- ❖ Supervise an orderly return to the normal operating facility, or movement to other temporary or permanent facility(ies) using a phased approach if conditions necessitate;
- ❖ Conduct an after-action review of COOP operations and effectiveness of plans and procedures/guidelines as soon as possible, identify areas for correction, and develop a remedial action plan.

### 3.6 Mitigation

- ❖ No mitigation activities identified.

## 4.0 Organization & Responsibilities

### 4.1 Organization

As mentioned in other annexes, the Incident Command System (ICS) should be used both on scene and in the EOC to organize and manage staff during large-scale incidents in Lewis & Clark County.

The Lewis and Clark County/City of Helena COOP plan should identify the emergency organizational structures for conducting COOP operations. The use of ICS is strongly recommended.

### 4.2 Responsibilities

The following responsibilities should be clearly outlined in County/City COOP planning guidance and internal documents:

#### Chief Elected Officials

- ❖ Declare an emergency and/or a disaster with up to a 2-mill levy, if appropriate. Separate declarations are required for each affected jurisdiction (county, Helena, East Helena.) A disaster declaration will allow a request to the MTDES for assistance.
- ❖ Provide Public Information as appropriate.

#### Department Heads

- ❖ Identify essential and non-essential personnel
- ❖ Pre-determined delegations of authority and orders of succession;
- ❖ Identification of agency essential functions

## **Section III: Support Annexes**

---

### **All Departments**

- ❖ Participate in tests and training of agency COOP plans, to include COOP contingency staffs, and essential systems and equipment, to ensure timely and reliable implementation of COOP plans and procedures/guidelines;
- ❖ Participate in periodic inter-agency COOP exercises to ensure effective interagency coordination and mutual support; and,
- ❖ Notifying the appropriate EOC and other appropriate agencies upon implementation of COOP plans.
- ❖ Provide ongoing status reports as requested.
- ❖ Maintain updated resource inventories of supplies, equipment, and personnel resources, including possible sources of augmentation or replacement.
- ❖ Document all costs and expenses associated with response and recovery activities taking care to clearly separate disaster related work from daily work in the event that State and Federal reimbursement becomes available.
- ❖ Maintain up-to-date rosters for notifying personnel and 24-hour staffing capabilities.
- ❖ Perform other emergency responsibilities as assigned.

### **DES Coordinator (DESC)**

- ❖ Maintain this annex, through coordination with other departments and agencies.
- ❖ Responsible for the emergency management program and organization and provides overall direction in the development of emergency mitigation, preparedness, response and recovery programs.
- ❖ Manages ongoing COG/COOP exercises and training for agencies and departments.
- ❖ Manages COG/COOP integration with the overall emergency management program.
- ❖ Activate the EOC to provide coordination and resource support, if required or requested.
- ❖ Manage the EOC, advise the CEO's of response actions, and support field operations.
- ❖ Provide public information if the PIO is not available.

## Section III: Support Annexes

---

- ❖ Hold periodic briefings when necessary for the EOC staff to exchange information.
- ❖ Act as liaison with MTDES..

### **Montana Disaster & Emergency Services (DES)**

- ❖ Coordinate assistance to local government and mobilization of resources per the provisions of the Montana Emergency Response Framework.

### **Federal Emergency Management Agency (FEMA)**

- ❖ Administers assistance to the state pursuant to [PL 93-288 of the Disaster Relief Act of 1974, Section 417](#).

## 5.0 Authorities and References

### 5.1 Authorities

- ❖ See [Section 5.1](#) of Basic Plan.
- ❖ **Directive 51/Homeland Security Presidential Directive 20. National Continuity Policy. May 9, 2007.**

### 5.2 References

- ❖ See [Section 5.2](#) of Basic Plan.
- ❖ **FEMA Continuity Guidance Circular 1 (CGC 1).** *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations).* **January 2009.**
- ❖ **FEMA Continuity Guidance Circular 2 (CGC 2).** *Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions)* **July 2010.**
- ❖ **FEMA Continuity Plan Template. February 2011.**
- ❖ **Lewis & Clark County EOP. May 2011. SA 2 – COOP-COG.**

**Section III: Support Annexes**

---

**6.0 Attachments**

**Attachment 1: Acronyms ..... 15**  
**Attachment 2: Definitions ..... 16**  
**Attachment 3: COOP/COG Planning Documents & Templates ..... 19**  
**Attachment 4: Continuity of Operations Plan..... 20**



## Section III: Support Annexes

### Attachment 1: Acronyms

Acronym	Meaning
BIA	Business Impact Analysis
BPA	Business Process Analysis
CIKR	Critical Infrastructure & Key Resources
COG	Continuity of Government
COOP	Continuity of Operations
DES	Disaster And Emergency Services
DESC	DES Coordinator
EMAC	Emergency Management Assistance Compact
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ERG	Emergency Relocation Group
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
IC	Incident Commander
ICP	Incident Command Post
ICS	Incident Command System
IMT	Incident Management Team
IP	Improvement Plan
IT	Information Technology
JIC	Joint Information Center
LCCO	Lewis & Clark County
LE	Law Enforcement
LEPC	Local Emergency Planning Committee
MCA	Montana Code Annotated
MDT	Montana Department of Transportation
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MTDES	Montana Disaster & Emergency Services
NEF	National Essential Function
NIMS	National Incident Management System
NIPP	<a href="#">National Infrastructure Protection Plan</a>
NOAA	National Oceanic and Atmospheric Administration
NRF	National Response Framework
P.L.	Public Law
PIO	Public Information Officer
POC	Point Of Contact
PPE	Personal Protective Equipment
SOP/SOG	Standard Operating Procedures/Guidelines

### Attachment 2: Definitions

**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.

**Catastrophic Emergency** – Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, or government functions.

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

**Continuity Capability** – The ability of an organization to continue to perform its essential functions, using Continuity of Operations and COG programs and continuity requirements that have been integrated into the organization’s daily operations, with the primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of essential functions under all conditions. Building upon a foundation of continuity planning and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.

**Continuity of Government (COG)** – A coordinated effort within Local Government’s executive branch to ensure that MEFs continue to be performed during a catastrophic emergency.

**Continuity of Operations (COOP)** – An effort within individual agencies to ensure they can continue to perform their MEFs and PMEFs during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

**Critical Infrastructure** – An interdependent network of vital physical and information facilities, networks, and assets, including in the telecommunications, energy, financial services, water, and transportation sectors, that private business and the Government rely upon. Critical infrastructures are those systems and assets so vital to the Nation that their incapacity or destruction would have a debilitating impact on national security (including national economic security) and/or national public health or safety.

**Critical Infrastructure Protection (CIP)** – Risk management actions intended to prevent a threat or threat agent from attempting to, or succeeding at, destroying or incapacitating critical infrastructures.

**Delegation Of Authority** – Identification, by position, of the authorities for making policy determinations and decisions at HQ, 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.

## Section III: Support Annexes

---

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

**Drive-Away Kit** – A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual’s personal and professional needs during deployment.

**Emergency Relocation Group (ERG)** – Pre-designated staff who move to a relocation site to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident. The ERG is composed of an advance team plus emergency personnel.

**ERG Member** – A person who has been assigned responsibility to report to an alternate site, as required, to perform organizational essential functions or other tasks related to continuity of operations.

**Essential Functions** – The critical activities performed by organizations especially after a disruption of normal activities. There are three categories of essential functions: NEFs, PMEfs, and MEFs.

**Essential Resources** – Resources that support the organization’s ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain local industrial and economic bases during an emergency.

**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 should be able to provide staff with survivable protection and should enable continued and endurable operations.

**Interagency Agreements** – A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

**Interoperability** – “Interoperability” has two meanings: (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies, and to use the services so exchanged so that these organizations can operate together effectively; (2) A condition that is realized among electronic-communications operating systems or grids and/or among individual electronic-communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

**Mission-Critical Data** – Information essential to supporting the execution of an organization’s essential functions.

**Mission Essential Function (MEF)** – The limited set of organization level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities

**National Essential Functions (NEFS)** – The eight functions the President and the Nation’s leadership will focus on to lead and sustain the Nation during a catastrophic emergency; NEFs, therefore, should be supported by COOP and COG capabilities.

## Section III: Support Annexes

---

**Orders Of Succession** – Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

**Primary Mission Essential Functions (PMEFs)** – Those department and agency Mission Essential Functions, which should be performed in order to support the performance of Local Emergency Functions before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

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

**Recovery** – The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.

**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 themselves fraught with uncertainty.

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

**Vulnerability Analysis** – A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

## Section III: Support Annexes

---

### Attachment 3: COOP/COG Planning Documents & Templates

- ❖ **FEMA Continuity Plan Template** (*excellent fill-in-the-blank resource for agency COOP plans that follows suggested guidance*). An electronic version of this document, in portable document format (PDF) is available on the FEMA website <http://www.fema.gov/about/org/ncp/coop/templates.shtm> . To request a Microsoft® Word version contact the National Continuity Programs, Continuity of Operations Division via e-mail at [FEMA-STTLContinuity@dhs.gov](mailto:FEMA-STTLContinuity@dhs.gov) .
- ❖ [FEMA Continuity Guidance Circular 1 \(CGC 1\)](#) – provides direction for developing continuity plans and programs.
- ❖ [FEMA Continuity Guidance Circular 2 \(CGC 2\)](#) – provides help on identifying Mission Essential Functions (MEFs).
- ❖ [Small City COOP Template](#) – may be used for a city or agency/department COOP plan. Has some good tables and attachments in its annexes.
- ❖ [COOP Planning Worksheets](#) – may help with identifying agency functions and critical processes and resources.
- ❖ [COOP Sample Annexes](#) – examples of COOP annexes for different size departments and communities.

## Section III: Support Annexes

---

### **Attachment 4: Lewis & Clark County COOP COG SOG 2/14**

A Continuity of Operations Plan has been written to identify a director of emergency response group, an emergency response group, essential employees as well as the identification of both alternative facilities and vital records. This plan is separate from the Emergency Operations Plan but supports both ESF 14 and SA 2.