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**April 2022**

**Continuity Of Operations Plan (COOP) Template**

**Tennessee Department of [Department Name]**

**[Month Day, Year]**



**[Replace with Department Logo]**

State of Tennessee

[Department/ Name]

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Annual Review Table

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# BASIC PLAN

*The Basic Plan should provide an overview of the organization’s approach to continuity* *operations. It details continuity and organization policies, describes the organization, and assigns tasks. The plan elements listed in this chapter will provide a solid foundation for the development of supporting Appendixes.*

# PROMULGATION STATEMENT

*The promulgation statement should briefly outline the organization and content of the Continuity Plan and describe what it is, who it affects, and the circumstances under which it should be executed. Promulgation is the process that officially announces/declares a plan. It gives the plan official status and gives both the authority and the responsibility to organizations to perform their tasks. The organization head or a designee may approve the Continuity Plan. Once signed, the promulgation statement officially announces the Continuity Plan. Sample text for this section is provided below.*

The **[Department Name]**’s mission is to **[enter mission statement]**.

To accomplish this mission, **[Department Name]** must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

Key personnel who may be activated under this plan are collectively known as the **[insert name of group, i.e. Continuity Team, Emergency Relocation Group]***.* Upon plan activation, these members **will/may** deploy to **[insert continuity facility name or placed on telework status]**. 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 (CGC), dated February 2018; Emergency Management Accreditation Program (EMAP), *Emergency Management Standard*, dated May 2019; Tennessee Code Authority (T.C.A.) **[insert applicable code]**; Management Directive **[enter Directive number and title]**; and other related directives and guidance.

**[Department Head signs here]**

**[Enter Department Head name here]**

**[Enter Department Head’s title here]**

**[Enter Department Name here]**

# PURPOSE, SCOPE, SITUATIONS, AND ASSUMPTIONS

## PURPOSE

*The introduction to the Continuity Plan should explain the importance of continuity planning to the organization and why the organization is developing a continuity plan. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a continuity capability for the organization. Sample text for this section is provided below.*

The **[Department Name]**’s mission is to **[enter mission statement]**. To accomplish this mission, the **[Department Name]** must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the **[Department Name]** 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 the **[Department Name]** 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 have increased the importance of having continuity programs that ensure continuity of essential functions across all levels of government.

## SCOPE

*The scope should describe the applicability of the plan to the organization as a whole, headquarters as well as subordinate activities, co-located and geographically dispersed, and to specific personnel groups in the organization. It should also include the scope of the plan. Ideally, continuity plans should address the full spectrum of potential threats, crises, and emergencies (natural and man-made). Sample text for this section is provided below.*

This Continuity Plan applies to the functions, operations, and resources necessary to ensure the continuation of **[Department Name]**’s essential functions in the event its normal operations are disrupted or threatened with disruption and that **[Department Name]** is capable of conducting its essential missions and functions under all threats and conditions, with or without warning. This plan applies to all **[Department Name]** personnel, unless specified otherwise. **[Department Name]** staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

## SITUATION OVERVIEW

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

According to the National Continuity Policy Implementation Plan, 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, **[Department Name]** supports the ability of the State of Tennessee to perform the Tennessee Essential Functions (TNEFs) and ensure that essential services are provided to the State’s citizens. A comprehensive and integrated continuity capability will enhance the credibility of our state security posture and enable a more rapid and effective response to, and recovery from, an emergency. Continuity planning should be based on the assumption that organizations will not receive warning of an impending emergency.

The **[Department Name]** continuity facilities were selected based on a review of hazard considerations, capability assessments and accessibility requirements. All facilities within Tennessee are vulnerable to a number of hazard and threat events. The State of Tennessee identifies thirteen hazards of prime concern which all state government continuity plans should consider: drought, earthquake, extreme temperature, wildfire, flood, geologic, severe weather, tornado, communicable disease, dam/levee failure, hazardous materials release, terrorism, and infrastructure incidents. The State of Tennessee Hazard Mitigation Plan provides a complete risk assessment of the thirteen hazards of prime concern along with hazard assessments for state government owned and/or leased properties. The **[Department Name]** Continuity Plan is designed to be capable of continuing essential functions with minimal or no disruption during all types of hazard and threat events.

## PLANNING ASSUMPTIONS

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

This Continuity Plan is based on the following assumptions:

* The **[Department Name]** continuity operations must be implementable for emergency events with or without warning.
* Successful implementation of continuity operations requires senior leadership support, tested procedures, and effective communications.
* An emergency condition may require the relocation of the **[Department Name]**’s Emergency Relocation Group (ERG) to a designated continuity facility.
* The continuity facilitywill support the ERG and the continuation of the **[Department Name]** 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 **[Department Name]** regional operations, if unaffected, will be available to support actions as directed by the **[title of Department head]**,or a successor. However, in the event that ERG deployment is not feasible due to the loss of personnel, the **[Department Name]** may devolve in accordance with the devolution guidelines set forth in this plan**.**
* **[Insert additional assumptions here]**

## OBJECTIVES

*All plans and procedures should list the objectives that the plans are designed to meet. Continuity planning objectives for non-federal agencies are identified in CGC 1. Sample text for this section is provided below.*

The **[Department Name]** continuity objectives are as follows:

1. Ensuring that an 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 organizations 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.
8. Ensuring and validating continuity readiness through dynamic and integrated continuity testing, training, exercising, and operational capability.

## SECURITY AND PRIVACY STATEMENT

*This section should detail the classification of the Continuity Plan. Since continuity plans and procedures are sensitive, organization-specific documents, at a minimum, organizations should classify their plan as “For Official Use Only”. Further, if the Continuity Plan includes a roster of continuity personnel that includes personal information, such as telephone numbers, that information is protected under the Privacy Act of 1974. Organizations should consult with their security office, or similar entity, to ensure their continuity plans and procedures are appropriately classified and marked. This section also should include dissemination instructions, including to whom and via what means the organization will disseminate the plan. Sample text for this section is provided below.*

This document is for official use only. Portions of the Plan contain information that raises personal privacy or other concerns, and those portions may be exempt from mandatory disclosure under the Tennessee Confidential Law, Tennessee Code Annotated (TCA) 10-7-504 (a)(3) and/or the Freedom of Information Act (see 5 United States Code §552, 41 Code of Federal Regulations Part 105-60). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with departmental policies and is not to be released without prior approval of the **[insert title of approving authority]** to the public or other personnel who do not have a valid “need to know.”

Some of the information in this Plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of the **[Department Name]** or otherwise impair its ability to carry out essential functions. Distribution of the Continuity Plan in whole or part is limited to those personnel who need to know the information in order to successfully implement the plan.

The **[Department Name, office name]** will distribute copies of the Continuity Plan on a need to know basis. **[Insert procedures for distributing the plan to the ERG and all personnel, i.e. via hard copy or electronic copy or posting on internal websites]**. 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. Further distribution of the plan is not permitted without approval from the **[insert office or position title]**.

The **[Department Name, office name]** will distribute updated versions of the Continuity Plan when applicable, or as critical changes occur. An updated copy of the plan will be provided to the Tennessee Emergency Management Agency (TEMA) on an annual basis, or as needed.

# CONCEPT OF OPERATIONS

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

## PHASE I: READINESS AND PREPAREDNESS

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

The **[Department Name]** will participate in a full spectrum of readiness and preparedness activities to ensure personnel can continue essential functions in an all- hazard/threat environment.

* The **[Department Name]** personnel will familiarize themselves with the contents of this plan and, where applicable, their specific roles and responsibilities. Organizational readiness and preparedness will be maintained by all **[Department Name]** staff, including training and exercise involvement.
* The **[Department Name]** personnel will prepare for a continuity event and plan in advance for what to do in an emergency. The [www.ready.gov](http://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.
* Alternate continuity facilities will be tested for operational capability annually to ensure the availability of radio, digital and phone line communications.
* The COOP will be integrated into an operation or exercise to test the elements of the plan.
* A specific COOP exercise, as a collective whole, will be conducted on a five (5) year cycle.

## PHASE II: ACTIVATION

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

To ensure the ability to attain operational capability at continuity facilities, with minimal disruption to operations, the **[Department Name]** will execute activation plans as described in the following sections.

Decision Process

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 **[Department Name]** Continuity Plan and related actions will be tailored for the situation and based on projected or actual impact and severity that may occur with or without warning.

|  |  |  |
| --- | --- | --- |
| **Decision Matrix for Continuity Plan Implementation** | | |
|  | Duty Hours | Non-Duty 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? * How soon must the organization be operational? | * Is the facility affected? * What are instructions from first responders? * How soon must the organization be operational? |
|  | | |

In the event that normal operations are interrupted, or if such an incident appears imminent that it becomes necessary to evacuate the **[Department Name]** facility, the **[Department Name]** Continuity Plan may be activated by one of the following methods, including the designation of a COOP coordinator if needed:

1. The state governor, or governor’s designee, may initiate continuity activation.
2. The **[Department Head title],** or a designated successor, may initiate the Continuity Plan activation for the entire organization, based on an emergency or threat directed at the organization.
3. **[Insert additional activation measures here]**

As the decision authority, the **[Department Head title]** will be kept informed of the threat environment using all available means, including the State Watch Point within TEMA, regional notification processes, local operations and State and local reporting channels and news media. The **[Department Head title]** 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

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

Personnel in the **[Department Name]** will monitor advisory information. In the event normal operations are interrupted or an incident appears to be imminent, the **[Department Name]** will take the necessary steps to communicate the organization’s operating status with all staff. Notifications of Continuity Plan activation will be made based on the current **[Department Name]** Organizational Chart via phone tree or mass email notification. The **[Department Name]** personnel will notify their respective family members, next of kin, and/or emergency contacts, as applicable.

Upon the decision to activate the Continuity Plan, the **[Department Name]** will notify all **[Department Name]** personnel, as well as affected and interdependent entities with information regarding continuity activation status, operational and communications status, and the anticipated duration of relocation. These entities include, but are not limited to:

* State Watch Point (615-741-0001)
* All **[Department Name]** employees with instructions and guidance regarding the continuity activation
* Organization headquarters, if a subordinate organization **[insert if applicable]**
* Subordinate organizations, if an organization headquarters **[insert if applicable]**
* **[Insert other points-of-contact, adjacent organizations, customers, stakeholders, and interdependent agencies here]**

Notifications to the public will also be made by the Department’s Public Information Officer (PIO) to instill a sense of confidence and ease concerns.

Relocation Process

Once the Continuity Plan is activated and personnel are notified, the **[Department Name]** will relocate continuity personnel and Essential Records to the **[Department Name]** continuity facility(ies) if necessary. The **[Department Name**] continuity personnel will deploy/relocate to the continuity facility(ies) to perform the **[Department Name]**’s essential functions and other continuity-related tasks. A map and directions to the continuity facility is located **[insert where the map is** **or** APPENDIX I**/*Operational Procedures*]**.

Emergency procedures will be implemented as follows:

1. The ERG must move immediately to establish operations to perform the mission. The ERG will move the minimum equipment necessary to begin emergency operations and establish the alternate facility within **[insert time, i.e. 12]** hours.
2. Continuity personnel, including advance team personnel, if applicable, will depart to the designated continuity facility from the primary operating facility or current location. **[Include any provisions made regarding the transport of disabled continuity employees].**
3. Non-continuity personnel present at the primary operating facility or another location will receive instructions from the **[insert authority]**. In most scenarios, non-continuity personnel will be directed to proceed to their homes or other **[Department Name]** facilities to wait for further guidance.
4. At the time of notification, if available, information will be provided regarding safety precautions and routes to use when leaving the primary operating facility.

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

In the event of an activation of the Continuity Plan, the **[Department Name]** may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The **[Insert office/title/authority]** maintains the authority for emergency procurement. Instructions for these actions are found **[insert** APPENDIX G**/*Logistics and Resources*]**.

In the event of a pandemic outbreak, a traditional continuity response may not be required, though a partial or full relocation of the organization’s essential functions may be concurrently necessary due to other circumstances. Additional information on the [**Department Name**] pandemic operations is found in [**insert APPENDIX J/*Pandemic***].

## PHASE III: CONTINUITY OPERATIONS

*This section should describe the initial arrival process and operational procedures for the continuation of essential functions. Sample text for this section is provided below. (If you do not have an advance team, replace it with the ERG and remove ERG references from tasking)*

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

The ERG will be first to arrive at the continuity facility to prepare the site for the arrival of the continuity personnel. Upon arrival at the continuity facility, the advance team will:

1. Ensure infrastructure systems, such as power and heating, ventilating, and air conditioning are functional
2. Establish communications
3. Establish internet services
4. Establish warning systems
5. Secure facility and establish safety and security systems as needed (fire extinguishers, security cameras, locks, etc…)
6. Establish any additional operational and mission-related functions
7. Establish administrative and fiscal support systems
8. **[Insert additional tasks here]**

As continuity personnel arrive, in-processing will be conducted to ensure accountability. In-processing procedures are conducted in a central location of the continuity facility, to be determined by the ERG. This location will be clearly labeled and procedures will include, at a minimum: Name, Organization, Position, Phone Number, and Email. In addition, the office will identify all organization leadership available at the continuity facility.

Upon arrival at the continuity facility, and after check-in/in-processing, the **[Department Name]** continuity personnel will:

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

A requirement of continuity personnel is to account for all **[Department Name]** personnel. Continuity personnelwill utilize the most current **[Department Name]** Organizational Chart/List to account for all personnel. In the event that the primaryfacility is impaired or evacuated without warning, **[Department Name]** personnel will utilize the phone tree method **[Insert a call number if applicable]** to check-in with their respective departments.

During continuity operations, the **[Department Name]** may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The **[Insert office/title/authority]** maintains the authority for emergency acquisition. Instructions for these actions are found **[insert** APPENDIX G**/*Logistics and Resources*]**.

## PHASE IV: RECONSTITUTION OPERATIONS

*Organizations should identify and outline a plan to return to normal operations once Organization heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated. Sample text for this section is provided below.*

*For additional information on reconstitution, see CGC 1, APPENDIX M.*

Within **[insert time period, i.e. 48 hours]** hours of an emergency relocation, a Reconstitution Manager/Team will be designated as needed. After receiving approval from the appropriate State and local law enforcement and emergency services, steps will be taken to initiate and coordinate operations to salvage, restore, and recover the **[Department Name]** primary operating facility. Each **[Department Name]** subcomponent will designate a reconstitution point-of-contact (POC) to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution. Names of reconstitution POCs will be provided to **[insert title/office]** within **[insert number, i.e. 48 hours]** hours of the Continuity Plan activation

Reconstitution will commence when the **[Department Head title]** 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 **[Department Name]** authority has made this determination in coordination with other State, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

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

Before relocating to the primary operating facility or another facility, appropriate security, safety, and health assessments will be conducted to determine building suitability. In addition, all systems, communications and other required capabilities will be verified and that the **[Department Name]** is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.

Upon a decision by the **[Department Head title],** or other authorized person, that the **[Department Name]** primary operating facility can be reoccupied, or that **[Department Name]** will be reestablished in a different facility, the **[Insert Department Name/office/title]**, or authorized authority, will:

* Notify the Stakeholders/Partnerswhen available, and other applicable operations centers with information regarding continuity activation status, the **[Department Name]** continuity facility, operational and communication status, and anticipated duration of relocation.
* Develop space allocation and facility requirements.
* Notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process.
* Coordinate with the applicable facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable.
* Develop procedures, as necessary, for restructuring staff
* **[Insert any additional activities associated with planning for reconstitution here].**

The **[Department Name]** will continue to operate at its continuity facility until ordered to cease operations by the **[insert authority]**. Essential functions, records and other critical elements will return to the original facility in the same order as displacement.

An After Action Review (AAR) will be held after all elements have been reconstituted to capture corrective actions. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in the **[Department Name]** corrective action program (CAP), and then develop a remedial action plan as soon as possible after the reconstitution. This is to be completed and maintained by the Emergency Services Coordinator (*see Tennessee Code Annotated 58-2-108*).

## DEVOLUTION OF CONTROL AND DIRECTION

*Devolution planning should support overall continuity planning and addresses the full spectrum of all-hazard/threat emergency events that may render an organization’s leadership or staff unavailable to support, or incapable of supporting the execution of the organization’s essential functions from either its primary operating facility or continuity facility. Sample text for this section is provided below.* ***Note:*** *Organizations that use a devolution plan that is separate from their continuity plan should include baseline information from their devolution plan in this section including references to where this information is located in their devolution plan.*

*For additional information on developing a devolution plan, see CGC 1, APPENDIX L, Devolution of Control and Direction. A template can be found on-line at:* <http://www.fema.gov/planning-templates>

The **[Department Name]** will be 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 **[Department Name]**’s essential functions. If deployment of continuity personnel is not feasible due to the unavailability of personnel, temporary leadership of the **[Department Name]** will devolve to **[insert office name and location]**, as applicable.

The **[Insert office/title]** maintains responsibility for ensuring the currency of the **[Department Name]** devolution planning.

# ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

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

Key staff positions within the **[Department Name]**, to include individual continuity members, those identified in the orders of succession and delegation of authority, the **[Department Name]** Continuity Coordinator, continuity managers, and others possess additional continuity responsibilities. The **[Department Name]** has identified the below roles and responsibilities for continuity preparation in advance of a COOP activation. The responsibilities and assignments of all continuity personnel are delineated **[insert** APPENDIX B**/*Continuity Personnel*]**.

| **Position** | **Responsibilities** |
| --- | --- |
| **[Insert Department Head title]** | * 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 |
| COOP Manager/Coordinator | * Coordinate COOP Planning process * Serve as the COOP program point-of-contact * Coordinate with leadership personnel on policy, development, approval, and maintenance of the COOP and integration of other emergency plans * Provide departmental information on essential functions, systems, personnel, and records for COOP planning * Conduct reviews of COOP documents, materials, and the plan * Update Continuity Plan annually |
| Records Manager | * Review status of Essential Records, files, and databases |
| Emergency Services Coordinator (ESC) | * Implement Emergency Support Function (ESF), if applicable |
| Communications/IT Manager(s) | * Update telephone rosters monthly * Conduct alert and notification tests |
| 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 position, if applicable |

The **[Department Name]** COOP Manager/Coordinator will coordinate with the TEMA COOP Manager for continuity guidance, training and development, to ensure continuity preparation.

# DIRECTION, CONTROL, AND COORDINATION

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

During activation of the Continuity Plan, the **[Department Head title]** maintains responsibility for control and direction of the **[Department Name]**. Should the **[Department Head title]** become unavailable or incapacitated; the organization will follow the order of succession laid out in **[**APPENDIX F**/*Orders of Succession*/*Delegations of Authority*]**.

This plan is reviewed and vetted by **[insert internal organizations, such as Regional components, subcomponents, or organization headquarters]** to ensure vertical integration within the **[Department Name]**.

# DISASTER INTELLIGENCE

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

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

*provided below.*

During a continuity event, the **[Department Name]** will require the collection and dissemination of critical information. While specific incidents may create additional or specialized reporting requirements, information that would be collected and reported regardless of incident type can be found in the Essential Elements of Information (EEI) guide, maintained by TEMA. Disaster intelligence will be collected and disseminated from the **[Insert Department/office/title]** by the Emergency Services Coordinator or by **[Insert office/title]**, as applicable.

# COMMUNICATIONS

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

Available and redundant critical communications systems have been identified at both the primary operating and continuity facilities. The **[Department Name]** 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 **[Department Name]**’s necessary and required communications and IT capabilities should be operational within 12 hours of continuity activation.

Additional detailed information on the **[Department Name]**’s communications systems and requirements is found in **[**APPENDIX E**/*Continuity Communications*].**

# PLAN DEVELOPMENT AND MAINTENANCE

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

The **[Department Name, office, title]** is responsible for maintaining the **[Department** **Name]** Continuity Plan. Development, maintenance and annual review of continuity capabilities will be carried out in accordance with **[Department Name]** policies and procedures.

Plan Review

*On an annual basis, the Continuity Plan, Essential Functions, and Business Process Analysis should be reviewed and updated, if changes occur, as well as documenting the date of the review and the names of personnel conducting the review. If applicable, non-Headquarters’ organizations (subcomponent, regional, and field offices) should submit to its organization HQ documentation on its Continuity efforts. Organizations may use regional or overarching Continuity/Devolution plans that integrate the Continuity capabilities of multiple subordinate organizations.*

The Continuity Plan, **[Department Name]** essential functions, and supporting activities, will be reviewed by the **[insert office name]** and updated annually in the Annual Review Table from the date of publication, as part of the maintenance of continuity plans and procedures. Revision of the plan will be conducted on a five (5) year cycle. The **[Office Name]** is responsible for the plan review and update. **[insert additional duties, responsibilities and/or guidance as needed]**.

Non-Headquarters’ components of the COOP should be reviewed annually by their respective organization. Updated components will be submitted to **[Department Name]** Headquarters (HQ).

This plan will be updated or modified when there are significant organizational, procedural changes, or other events that impact continuity processes or procedures and will be revised on a five (5) year cycle. Comments or suggestions for improving this plan may be provided tothe Department’s COOP Manager.

An updated copy of the plan will be provided to TEMA annually for review.

Record of Changes

*Planners should track and record the changes using a record of changes table when changes are made to the Continuity Plan outside the official cycle of plan review, coordination, and update. The record of changes should contain, at a minimum, a change number, the date of the change, the name of the person who made the change, and a description of the change.*

Any changes occurring outside of the regular review cycle will be tracked and recorded in the Document Change Table.

Record of Distribution

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

The **[Department Name]** will maintain records of distribution of the COOP to other agencies and/or stakeholders that do not have regular access in the Document Transmittal Record Table.

# AUTHORITIES AND REFERENCES

*This section should cite a list of authorities and references mandating the development of this Continuity Plan and provide guidance towards acquiring the requisite information contained in this Plan. If needed, an APPENDIX can be used to list the authorities and references used in this plan. Examples of authorities and references are provided below.*

1. **[Enter title of organizational policies or directives, if applicable]**.
2. Tennessee Code Annotated
   1. TCA \_\_\_\_\_\_\_ **[Enter Department specific TCA reference]**
   2. TCA 58-2-106 Emergency Management Responsibility and Powers
   3. TCA 58-2-107 Emergency powers of the Governor
   4. TCA 58-2-108 Designation of Emergency Services Coordinators
   5. TCA \_\_\_\_\_\_\_ **[Enter additional TCA references as needed]**
3. Presidential Policy Directive 8 (PPD-8), *National Preparedness*, dated December 2003.
4. Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 2007.
5. Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013.
6. 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.
7. Continuity Guidance Circular (CGC), dated February 2018.
8. Comprehensive Preparedness Guide 101, *Developing and Maintaining Emergency Operations Plans*, dated September 2021.
9. Emergency Management Accreditation Program (EMAP), *Emergency Management Standard*, dated May 2019.
10. National Strategy for Pandemic Influenza, *dated November 2005.*
11. **[Enter title of organizational plan, guidance, etc., if applicable]**.

# APPENDIX A. ESSENTIAL FUNCTIONS

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

Identification of Essential Functions

The **[Department Name]** has completed the Mission Essential Functions (MEFs) process as identified in CGC 2 to identify those functions that the **[Department Name]** must continue. The **[Department Name]**’sMEFs are based on its mission and role in support of the State of Tennessee and the continued performance of the Tennessee Essential Functions (TNEFs), enabling a more rapid and effective response, and recovery from, an incident.

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. Using CGC 2 guidance, the **[Department Name]** implemented the MEF identification process to identify and prioritize their organizational MEFs. The **[Department Name]**’s MEFs, as validated and approved by the **[enter Department approving official title],** are listed below in priority order.

|  |
| --- |
| **[Department Name] Mission Essential Functions (MEFs)** |
| **MEF 1: *[Insert Departmental MEF here].*** [MEF Description] |
| **MEF 2*: [Insert Departmental MEF here].*** [MEF Description] |
| **MEF 3: *[Insert Departmental MEF here].*** [MEF Description] |
| **MEF 4: *[Insert Departmental MEF here].*** [MEF Description] |
| **MEF 5: *[Insert Departmental MEF here].*** [MEF Description] |
| **MEF 6: *[Insert Departmental MEF here].*** [MEF Description] |

State of Tennessee Essential Functions – under review

The Tennessee Essential Functions (TNEFs) are comprised of a subset of state government functions representative of the overarching responsibilities of the State of Tennessee, enabling a more rapid and effective response, and recovery from, an incident. The following TNEFs are established and defined for the purpose of the State of Tennessee Continuity of Government (COG) Plan.

|  |
| --- |
| **Tennessee Essential Functions (TNEFs)** |
| **TNEF 1: *Maintain Continuity of Government*.** Ensure the continued functioning of state government and critical government leadership elements, including: succession to key offices; organizational communications (with a priority on emergency communications); leadership and management operations; situational awareness; personnel accountability; and functional and judicial organizations (as necessary). |
| **TNEF2*: Provide Visible Leadership*.** Visible demonstration of leaders effectively dealing with crisis and leading response efforts. |
| **TNEF3: *Defend the Constitution of Tennessee*.** Uphold the legal and governing frameworks established within the State’s constitution. |
| **TNEF4: *Maintain Effective Relationships with Neighbors and Partners*.** Maintain relationships and cooperative agreements with federal, state, local, and tribal governments, and private sector and non-profit partners. |
| **TNEF5: *Maintain Law and Order*.** Maintain civil order and public safety (protect people and property and the rule of law), by ensuring basic civil rights, preventing crime, and protecting critical infrastructure. |
| **TNEF6: *Ensure Availability of Emergency Services*.** Provide and/or assist local and tribal governments in providing critical emergency services, including emergency management, police, fire, ambulance, medical, search and rescue, hazmat, shelters, emergency food services, recovery operations, and other services as necessary. |
| **TNEF7: *Maintain Economic Stability*.** Manage the overall economy of the State of Tennessee by managing Tennessee’s finances and ensuring solvency. |
| **TNEF8: *Ensure Availability of Basic Essential Functions*.** Provide and/or assist in the provision of basic services, including water, power, health care, communications, transportation services, sanitation services, environmental protection, commerce, and other services deemed necessary for life sustainment, economic viability and public safety. These are critical services necessary to sustain the population and that must continue or be restored quickly to provide for basic needs. |

# APPENDIX B. CONTINUITY PERSONNEL

*Once MEFs are identified, the organization should determine the personnel positions that are fully equipped and authorized to perform these functions. Position titles should be used rather than names since personnel change, but titles generally do not. Once these positions are identified, the organization should establish and maintain a POC roster of trained continuity personnel attached to the applicable positions. Rosters, at a minimum, should include names and home, work, and cellular telephone numbers, as applicable. In addition, organizations should identify replacement personnel and augmentees, as necessary. Organizations should consider maintaining this roster separate from the Continuity Plan or as an APPENDIX due to the need for constant revision and for privacy concerns. Sample text for this section is provided below. For additional information on mission essential functions, see CGC 1, APPENDIX D and CGC 2, APPENDIX A. See CGC 1, APPENDIX J for additional information on continuity personnel rosters.*

The **[Department Name]** has identified and designated those positions and personnel judged to be critical to organization operations in any given emergency situation as continuity personnel. Those designated as continuity personnel possess the skill sets necessary to perform the **[Department Name]**’s MEFs and supporting tasks.

In order to continue its essential functions, the **[Department Name]** has determined the staff positions necessary to relocate under Continuity Plan activation. The **[Insert office/title]** is responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

Each continuity member is selected based upon:

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

Continuity members and staff positions listed in this section are not all-inclusive. Personnel and position needs will be based on the incident/event and may be altered as needed.

|  |  |
| --- | --- |
| **Function** | **Title/ Position** |
| **MEF 1**  **[insert MEF]** | 1. **[Insert office/title]** |
|  |
|  |
|  |
|  |
| 6. |

|  |  |
| --- | --- |
| **Function** | **Title/ Position** |
| **MEF 2**  **[insert MEF]** | 1. **[Insert office/title]** |
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| 6. |

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| --- | --- |
| **Function** | **Title/ Position** |
| **MEF 3**  **[insert MEF]** | 1. **[Insert office/title]** |
|  |
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|  |
| 6. |

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| --- | --- |
| **Function** | **Title/ Position** |
| **MEF 4**  **[insert MEF]** | 1. **[Insert office/title]** |
|  |
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|  |
| 6. |

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| --- | --- |
| **Function** | **Title/ Position** |
| **MEF 5**  **[insert MEF]** | 1. **[Insert office/title]** |
|  |
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|  |
| 6. |

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| --- | --- |
| **Function** | **Title/ Position** |
| **MEF 6**  **[insert MEF]** | 1. **[Insert office/title]** |
|  |
|  |
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|  |
| 6. |

|  |
| --- |
| **Emergency Relocation Group (ERG)** |

| Title/ Position | Name | A Team | Duties/Responsibilities | Resource Requirements |
| --- | --- | --- | --- | --- |
| **[Insert title/position]** | **[Insert Name]** | **[Member of**  **A-Team?]** | * **[Insert position duties/responsibilities; Member of JIC, Provides strategic guidance & makes decisions based on developing situation, Provides facility support and services, etc…]** | * **[Insert any additional info, i.e. multiple MEFs, vehicle considerations, location, etc…]** |
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| --- |
| **Continuity Personnel** |

| Title/ Position | Name | ERG Member | Duties/Responsibilities | Resource Requirements |
| --- | --- | --- | --- | --- |
| **[Insert title/position]** | **[Insert Name]** | **[Member of**  **ERG?]** | * **[Insert position duties/responsibilities; Member of JIC, Provides strategic guidance & makes decisions based on developing situation, Provides facility support and services, etc…]** | * **[Insert any additional info, i.e. multiple MEFs, vehicle considerations, location, etc…]** |
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# APPENDIX C. ESSENTIAL RECORDS MANAGEMENT

*This section should address the Essential Records management requirements needed to support MEFs during a continuity event. The identification, protection, and ready availability of Essential Records, databases, and hard copy documents needed to support MEFs under the full spectrum of all-hazard/threat emergencies are critical elements of a successful continuity plan and program*. *Sample text for this section is provided below. For additional information on Essential Records management, see CGC 1, APPENDIX I.*

“Essential Records” refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support MEFs during a continuity event. This includes:

* Identification and protection those records that specify how the organization will operate in an emergency or disaster
* Identification of those records necessary to the organization’s continuing operations
* Identification of those records needed to protect the legal and financial rights of the organization

Identifying Essential Records

The **[insert division/office title here; i.e. Strategic Technology Solutions (STS) section]** is responsible for the transfer and protection of the **[Department Name]**’s electronic databases, including adequate backup when necessary. Within 12 hours of activation, continuity personnel at the continuity facility should have access to the appropriate media for accessing Essential Records, including:

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

The **[Department Name]** maintains an Essential Records Plan (ERP) packet/collection that will be maintained and updated to ensure continuity if the primary operating facility is damaged, destroyed, or unavailable. The packet includes, at a minimum:

* List of the **[Department Name]**’s Continuity members with up-to-date phone numbers
* An Essential Records inventory, including updates to the Essential Records
* Necessary keys or access codes
* The **[Department Name]** continuity facility locations
* A copy of the **[Department Name]**’s COOP

Maintenance and Protection of Essential Records

The protection of Essential Records is essential to ensuring the records are available during a continuity event, thus enabling an organization to perform their MEFs. Appropriate protections for Essential Records will be provided by the **[insert division/office title here]** ~~and will include dispersing those records to other organization locations, or storing those records offsite.~~ The **[insert division/office title here]** is responsible for providing access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, Internet access, and/or dedicated telephone lines).

When determining and selecting protection methods, the **[Department Name]** has taken into account the specific protections needed by different kinds of storage media. Essential Records will be maintained in the following:

* On/At **[insert location]**
* On external hard drive
* At **[Department Subordinate Offices]**

The ERP, and any additional applicable records, will be maintained and reviewed annually by the **[insert personnel/division/office title here]**. **[insert division/office title here]** shall provide updates to their respective documents to the **[insert personnel/division/office title here]** when modified/updated. These records, and any copies, will be securely maintained and updatedso it is easily accessible to appropriate personnel when needed.

The **[Department Name]** has identified the following as vital to its operations:

| **Vital File, Record** | **Description** | **Form of Record** | **Storage/Transport Method** | **Maintenance Frequency** |
| --- | --- | --- | --- | --- |
| Delegations of Authority | Directive | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Annually |
| Electronic Data | Online Drive | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Quarterly |
| Emergency Plans | Directive | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Annually |
| Fiscal, Budget, and Grant Data | Directives and Reports | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Annually |
| Forms | Online Drive | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Quarterly |
| Legal and Regulatory Authorities | Directives | Electronic and/or Books | **[pre-positioned or hand carried to alternate site]** | Annually |
| Letters and Memoranda | Online Drive and Office Files | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Annually |
| Memorandum of Understanding and Memorandum of Agreements | Online Drive and Office Files | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Annually |
| Systems Manuals | Operating Guides | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | As needed |
| Telephone Directories and Listings | Online Drive | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Quarterly |
| Working Documents | Online Drive and Office Files | Paper and/or Electronic | **[pre-positioned or hand carried to alternate site]** | Quarterly |

# APPENDIX D. CONTINUITY FACILITIES

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

The **[Department Name]** has designated continuity facility(ies) 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 **[Department Name**] continuity facility(ies) is/are designated based on consideration of mission essential functions and the ability to accommodate personnel and equipment. To avoid disruption to operations, the following alternate facilities will be utilized:

1. [Alternate COOP facility name #1]

A map of the surrounding area, including directions and route from the primary operating facility, is found in **[insert** APPENDIX I/*Operational Procedures*]. Additional facility details are as follows:

1. Location: **[insert address]**.
2. Facility Amenities: The alternate site includes the following amenities: **[insert all facility amenities that apply; i.e. # of rooms, # of restrooms, # of refrigerators, kitchen area, vending machines, secure door access, wifi access, projectors, reserved parking lot, sleeping quarters, first aid kits, atm, etc.]**
3. Facility Management: This facility is **[owned/rented]** by the **[Department Name]**. For facility coordination needs, contact:

**[insert name and title]**

*Phone:*

*Email:*

1. Security Management: Security at the alternate site is provided by **[insert security name]**. During a continuity event site security will be provided **[insert start day, i.e. Monday]** to **[insert finish day, i.e. Friday]** from **[insert start time, i.e. 7:00am]** to **[insert finish time, i.e. 5:00pm]**. For security needs, contact:

**[insert name and title]**

*Phone:*

*Email:*

1. Medical Support: In case of a medical emergency, the closest hospital is **[insert hospital name]** at **[insert address]**. This is an approximately **[insert miles]** mile and **[insert drive time]** minute drive from the alternate site.
2. [Alternate COOP facility name #2 – IF APPLICABLE]

A map of the surrounding area, including directions and route from the primary operating facility, is found in **[insert** APPENDIX I/*Operational Procedures*]. Additional facility details are as follows:

1. Location: **[insert address]**.
2. Facility Amenities: The alternate site includes the following amenities: **[insert all facility amenities that apply; i.e. # of rooms, # of restrooms, # of refrigerators, kitchen area, vending machines, secure door access, wifi access, projectors, reserved parking lot, sleeping quarters, first aid kits, atm, etc.]**
3. Facility Management: This facility is **[owned/rented]** by the **[Department Name]**. For facility coordination needs, contact:

**[insert name and title]**

*Phone:*

*Email:*

1. Security Management: Security at the alternate site is provided by **[insert security name]**. During a continuity event site security will be provided **[insert start day, i.e. Monday]** to **[insert finish day, i.e. Friday]** from **[insert start time, i.e. 7:00am]** to **[insert finish time, i.e. 5:00pm]**. For security needs, contact:

**[insert name and title]**

*Phone:*

*Email:*

1. Medical Support: In case of a medical emergency, the closest hospital is **[insert hospital name]** at **[insert address]**. This is an approximately **[insert miles]** mile and **[insert drive time]** minute drive from the alternate site.

Continuity Facility Information

The **[Department Name]**’scontinuity facility(ies) provide the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

1. Space and equipment, including computer equipment and software. Facility floor plans and equipment inventoryare maintained by **[insert office or personnel name]**.
2. Capability to perform MEFs within 12 hours of plan activation for up to 30 days or until normal operations can be resumed.
3. Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available in the Essential Records Plan and provided by **[insert office or personnel name]**.
4. Consideration for health, safety, security, and emotional well-being of personnel.
5. Interoperable communications for effective interaction. Additional information on continuity communications is found in **[insert** APPENDIX E/*Continuity Communications*] in this plan.
6. Capabilities to access and use Essential Records. Additional information on accessing Essential Records is found in **[insert** APPENDIX C/*Essential Records Management*] in this plan.
7. Systems and configurations that are used in daily activities. IT support at the continuity facility is established and maintained by **[insert office or personnel name]**.Details on the systems and configurations are available upon request.
8. Emergency/back-up power capability. Details on the power capability are available upon request from **[insert office or personnel name]**.

Continuity Facility Logistics

The **[Department Name]**’s continuity facilities maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. Further details can be found in [insert APPENDIX G/*Logistics and Resources*].

**[-OPTIONAL-]** The **[Department Name] [does/does not]** maintain MOAs/MOUs and reviews the MOAs/MOUs annually, as applicable. An MOA/MOU is necessary because the **[Department Name]** is **[list reasons, i.e. co-located with another agency]**. A copy of the MOA/MOU is found at **[insert location or list APPENDIX]** and maintained by the **[insert office name]**.

Continuity Facility Orientation

The **[Department Name]** regularly familiarizes its continuity personnel with its continuity facilities. The **[Department Name]** accomplishes this orientation through site visits, training and deployment exercises, as necessary. This familiarization training is conducted on an annual basis, in accordance with the COOP maintenance schedule.

# APPENDIX E. CONTINUITY COMMUNICATIONS

*This section should address communications systems needed to ensure connectivity during crisis and disaster conditions. The ability of an organization to execute its essential functions at its continuity facility depends on the identification, availability, and redundancy of critical communications and IT systems to support connectivity among key State, territorial, tribal, and local leadership personnel, internal organization elements, other organizations, critical customers, and the public during crisis and disaster conditions. Sample text for this section is provided below. For additional information on continuity communications, see CGC 1, APPENDIX H.*

The **[Department Name]** has identified available and redundant critical communication systems at the continuity facility. Further, the **[Department Name]** maintains fully capable continuity communications that could 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. These systems provide the ability to communicate within and outside the organization and are maintained by **[insert office/title]**.

Should communication capabilities be affected by an emergency event, the **[Department Name]** has assigned a high and low priority level to each communication capability. High priority capabilities are the primary communication method assigned to complete the MEFs and low priority capabilities can act as a backup when necessary.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Communication**  **Capability** | **Supports**  **Mission Essential**  **Function** | **Current**  **Provider** | **Priority** | **Additional**  **Notes** |
| Landline Phones | **[Insert applicable MEF Numbers for the Department]** | **[Insert Provider]** | Low | **[Insert Additional Notes; i.e. any usage requirements, # of devices at alternate site, etc.]** |
| Cell Phones | **[Insert applicable MEF Numbers for the Department]** | Verizon | High |  |
| Fax Machines | **[Insert applicable MEF Numbers for the Department]** | **[Insert Provider]** | Low |  |
| Email | **[Insert applicable MEF Numbers for the Department]** | STS | High |  |
| Edison | **[Insert applicable MEF Numbers for the Department]** | STS/F&A | **[Insert High or Low]** |  |
| Shared Drives | **[Insert applicable MEF Numbers for the Department]** | STS | **[Insert High or Low]** |  |
| **[Insert Additional Categories if Applicable]** |  |  |  |  |

All of the **[Department Name]**’s necessary and required communications and IT capabilities should be operational within 12 hours of activation, including communications capabilities to support the organization’s senior leadership while they are in transit to continuity facilities.

# APPENDIX F. LEADERSHIP AND STAFF

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

Orders of Succession

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

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision- making authority. The **[Insert office/title]** retains a copy of these orders andis responsible for ensuring orders of succession are up- to-date.

The **[Department Name]**’s orders of succession are:

* At least three positions deep, where possible, ensuring sufficient depth to ensure the **[Department Name]**’s ability to manage and direct its essential functions and operations
* Described by positions or titles, rather than by names of individuals holding those offices
* Included as an essential record, with copies accessible and/or available at both the primary operating facility and continuity facilities.

The **[Department Name**] has identified successors for key leadership positions within the organization:

|  |  |
| --- | --- |
| **Position** | **Designated Successors** |
| **[Department Head title, i.e. Commissioner]** | 1. **[insert successor position]** |
| 2. **[insert successor position]** |
| 3. **[insert successor position]** |
| **[insert additional positions here]** | 1. **[insert successor positions]** |
| 2. **…** |
| 3. **…** |
| **[insert additional positions here]** | 1. **[insert successor positions]** |
| 2. **…** |
| 3. **…** |
| **[insert additional positions here]** | 1. **[insert successor positions]** |
| 2. **…** |
| 3. **…** |
| **[insert additional positions here]** | 1. **[insert successor positions]** |
| 2. **…** |
| 3. **…** |
| Public Information Officer | 1. **[insert successor positions]** |
| 2. **…** |

In the event of a change in leadership status, the **[Department Name]** must notify the successors, as well as internal and external stakeholders. In the event the **[Department Name]** leadership becomes unreachable or incapable of performing their authorized legal duties, roles, and responsibilities, the **[insert office/title]** will initiate a notification of the next successor in line. Internal and external stakeholders will be notified of the change in leadership, as applicable.

All personnel designated as a successor will be familiar with the authorities and responsibilities associated with the position they are to fill. Successors will obtain the necessary training to meet the required duties and responsibilities of the position. All training is reflected in the **[Department Name]** training records, maintained by the **[Insert office/title]**.

Delegations of Authority

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

Generally, the **[Department Name]** pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed.

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

* Orderly succession of officials to the position of **[Department Head title, i.e. Commissioner]** in the case of the **[Department Head title, i.e. Commissioner]** absence, a vacancy at that office, or the inability of the **[Department Head title, i.e. Commissioner]** to act during an emergency or national security emergency.

|  |  |
| --- | --- |
| **Chain of Command / Line of Succession** | |
| **ORDER** | **TITLE** |
| 1  Warning | **[Department Head title, i.e. Commissioner]** |
| 2 | **[insert additional delegation authority titles]** |
| 3 | **[insert additional delegation authority titles]** |
| 4 | **[insert additional delegation authority titles]** |
| 5 | **[insert additional delegation authority titles]** |

The **[Department Name]**’s delegations of authorities:

1. Are included as Essential Records
2. Are written in accordance with applicable laws and organization policy, ensuring that the organization’s MEFs are performed
3. Outline explicitly, in a statement, the authority of an official to re-delegate functions and activities, as appropriate
4. Delineate the limits of and any exceptions to the authority and accountability for officials

The **[Department Name]** has informed those officials who might be expected to assume authorities during a continuity situation. Those officials who might be expected to assume authorities during a continuity situation will obtain the necessary training to meet the required duties and responsibilities of the position, including authorities for making policy determinations. All training is reflected in the **[Department Name]** training records, maintained by the **[Insert office/title]**.

# APPENDIX G. LOGISTICS AND RESOURCES

*This section should focus on the organization’s logistical aspects, budgeting considerations and all other special categories of employees who have not been designated as continuity personnel. This section should concentrate on the following areas: Logistical considerations, Budget, Continuity Personnel, All Staff, and Human Resources Considerations. Sample text for this section is provided below. For additional information on Human Resources, see CGC 1, APPENDIX J.*

The responsible parties for each mission essential function must identify and maintain equipment, supplies, and other necessary resources either at an alternate facility, or with the capability of being relocated quickly in an emergency, to an alternate facility. Pre-positioning and off-site storage should be utilized where feasible.

Examples of resources that must be considered include computer equipment and connections, software, file cabinets, desks, chairs, office supplies, vehicles, telecommunications, information technology support, copies of critical data, and parking accommodations.

The ERG is responsible for moving of equipment and supplies to an alternate location and assisting in set-up as needed. Where feasible and applicable, ‘drive-away’ kits should be considered, prepared and pre-positioned so that staff will have the basic essential resources needed to conduct essential business.

Budgeting and Acquisition of Resources

*The Budgeting and Acquisition section should identify the people, communications, facilities, infrastructure, and transportation requirements necessary to the successful implementation and management of an organization’s continuity program. In addition, the organization should identify and provide funding and specific budgetary guidance and requirements for all levels of the organization, including subordinate components and state offices. This section aligns with the Administration, Finance, and Logistics section of the Comprehensive Preparedness Guide 101. Sample text for this section is provided below. For additional information on budgeting and acquisition of resources, see CGC 1, APPENDIX C.*

The **[Department Name]** budgets for and acquires those resources and capabilities essential to continuity operations. In accordance with applicable directives, the budget will provide for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days, or until normal operations can be resumed.

As part of the continuity budget process, the **[Department Name]** uses a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources. During a continuity event, the budget will be linked directly to the objectives and metrics set forth by the **[Department Name]** leadership, based on the emergency situation. Procurement of resources to fulfill continuity resource requests and capabilities will be fulfilled by the **[insert office/title]**, or designee.

For those contracts vital to the support of organization essential functions, the **[Department Name]** has identified statewide contracts to include provisions to provide staffing, services, and resources during emergency conditions. Vital contracts, budgetary documentation and policies/directives are maintained by the **[insert office/title; ie. TN Department of General Services, Central Procurement Office (CPO)]**, **[insert additional office/titles as applicable]**, and the **[insert office/title; ie. TN Department of Finance & Administration]**, respectively.

Continuity Facilities

The **[Department Name]**’s continuity facility(ies) maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. These site preparation and activation plans, including the need for housing near the continuity facility, are maintained by the **[insert office/title]**.

The **[Department Name]** maintains the following procedures for no-warning and with-warning events:

* During a no-warning event, the ERG and continuity personnel are transported to the continuity facility via **[enter means of transportation, rally points, means of notification, back-up transportation methods and any other necessary information]**.
* During a with-warning event, the ERG team and continuity personnel are transported to the continuity facility via **[enter means of transportation, rally points, means of notification, back-up transportation methods and any other necessary information]**.

The **[insert office/title]** will ensure, at a minimum, that thecontinuity facility(ies) are equipped with the following resources for all continuity personnel:

* Computer/laptop with internet access
* Phone access (landline and/or cell)
* Adequate workspace
* **[insert additional resource requirements]**

Continuity Personnel

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

* Identified and designated those positions and personnel they judge to be critical to organization operations in any given emergency situation as continuity personnel. A roster of continuity positions is maintained by the **[insert office/title]** and is found in **[APPENDIX B/*Continuity Personnel*]**.
* Identified and documented its continuity personnel. Continuity personnel possess the skills necessary to perform essential functions and supporting tasks. A roster of continuity personnel is maintained by **[insert office/title]** and is found in **[APPENDIX B/*Continuity Personnel*]**.
* Officially informed all continuity personnel of their roles or designations by providing documentation in the form of a Continuity Roster (see APPENDIX B**/*Continuity Personnel***)to ensure that continuity personnel know and accept their roles and responsibilities.
* Ensured continuity personnel participate in the organization’s continuity testing, training and exercises, as reflected in training records. Training records are maintained by the **[insert office/title]**.
* Provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event.

All Staff

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

* The **[Department Name]**’s employees are expected to remain in contact with their respective Supervisor/Branch/Division during any facility closure or relocation situation. Personnel will utilize the phone tree method to check-in with their respective departments.
* The **[Department Name]** ensures staff are aware of and familiar with Human Resources guidance in order to continue essential functions during an emergency. Guidance is provided by the **[Insert office/title]**.

Accounting for all personnel during a continuity event is of utmost importance. In order to account for all staff, the **[Department Name]** will contact personnel based on the current **[Department Name]** Organizational Chart via phone tree or mass email notification. The **[Insert office]** has the responsibility of attempting contact with those individuals who are unaccounted for. Accountability information is reported to the **[insert office/title]** at one (1)hour increments.

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

Human Resources Considerations

The **[Department Name]** continuity program, plans, and procedures incorporate 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 **[insert office]** has the responsibility for the **[Department Name]** human resources issues. A copy of these policies and guidance is maintained by the Department of Human Resources (DOHR).

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

DOHR maintains guidance and direction for personnel on human resources issues, including:

* Additional Staffing
* Work Schedules and Leave/Time Off
* Employee Assistance Program
* Special Needs Employees
* Telework
* Benefits
* Premium and Annual Pay Limitations

Further, DOHR communicates Human Resources guidance for emergencies (pay, leave/time off, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency.

# APPENDIX H. TESTS, TRAINING AND EXERCISES

*This section should focus on the organization’s TT&E program. All organizations should develop and maintain a continuity TT&E program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continued performance of their MEFs*. *Sample text for this section is provided below. For additional information on TT&E, see CGC 1, APPENDIX K. For information on the Homeland* *Security Exercise and Evaluation Program (HSEEP), see* [*https://hseep.dhs.gov*](https://hseep.dhs.gov/)*.*

The **[Department Name]** has established an effective Testing, Training and Exercise (TT&E) program to support the organization’s preparedness and validate the continuity capabilities, program, and ability to perform essential functions during any emergency. Details on the program can be found in the following documents:

* **[Department Name]** Training Policy
* **[Department Name]** Exercise Plan
* **[Insert any additional documents/plans here]**

The testing, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving the **[Department Name]**’s ability to execute continuity programs, plans, and procedures.

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

The **[Department Name]** performs the following continuity events at regular intervals:

| **Continuity TT&E Requirements** | **Monthly** | **Quarterly** | **Annually** | **As**  **Required** |
| --- | --- | --- | --- | --- |
| Test and validate equipment to ensure internal and  external interoperability and viability of communications systems |  |  |  |  |
| Test alert, notification, and activation procedures for  all continuity personnel |  |  |  |  |
| Test primary and back-up infrastructure systems and  services at continuity facilities |  |  |  |  |
| Test capabilities to perform essential functions |  |  |  |  |
| Test plans for recovering Essential Records, critical  information systems, services, and data |  |  |  |  |
| Test and exercise of required physical security  capabilities at continuity facilities |  |  |  |  |
| Test internal and external interdependencies with  respect to performance of essential functions |  |  |  |  |
| Train continuity personnel on roles and responsibilities |  |  |  |  |
| Conduct continuity awareness briefings or orientation  for the entire workforce |  |  |  |  |
| Train organization’s leadership on essential functions |  |  |  |  |
| Conduct exercise that incorporates the deliberate and  preplanned movement of continuity personnel to continuity facilities |  |  |  |  |
| Conduct assessment of organization’s continuity plans and programs and report to findings to the Planning Branch |  |  |  |  |
| 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 |  |  |  |  |
| Train on the identification, protection, and ready availability of electronic and hardcopy documents,  references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation for all staff involved in the Essential Records program |  |  |  |  |
| Test capabilities for protecting classified and  unclassified Essential Records and for providing access to them from the continuity facility |  |  |  |  |
| Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities,  existing facilities, or virtual offices |  |  |  |  |

The **[Department Name]** formally documents and reports all conducted continuity TT&E events, including the event date, type, and participants. Documentation can also include test results, feedback forms, participant questionnaires, and other documents resulting from the event. Continuity TT&E documentation for the **[Department Name]** is managed by the **[insert office/title]**. Further, the **[Department Name]** conducts a comprehensive debriefing or hotwash after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and recommend revisions to the organization’s continuity plan.

The **[Department Name]** has developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. The **[Department Name]** CAP incorporates evaluations, AARs, and lessons learned from a cycle of events into the development and implementation of its CAP and the maintenance and updating of the **[Department Name]** continuity plan. The **[Department Name]** CAP is maintained by the **[insert office/title]**.

# APPENDIX I. OPERATIONAL PROCEDURES

*Implementing instructions may be included as attachments or referenced. This APPENDIX serve to provide additional information on sections presented in the Continuity Plan. Potential instructions include:*

*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.*

*Sample operational checklists may include:*

• *Emergency Calling Directory*

• *Emergency Relocation Group Checklist*

• *Essential Functions Checklist*

• *Continuity Site Acquisition Checklist*

• *Emergency Operating Records*

• *IT Checklist*

• *Emergency Equipment Checklist*

• *Delegations of Authority*

• *Orders of Succession*

• *Maps and directions to the Continuity facility and seating chart*

Operational procedures serve to provide additional information on sections presented in this plan. Attached are tools that will ensure all required tasks are accomplished so that the **[Department Name]** can continue operations at an alternate location.

# TABS

## [Applicable Department/State SOPs]

## Continuity Checklists

## [Department Name] Organizational Chart

## [Department Name] Personnel Roster & Call List

## Maps and directions to the Continuity Facility

## [insert additional operational procedures, checklists, plans, guidance, job aids, etc…]

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TAB A.

[**Department/State SOPs**]

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TAB B.

Continuity Checklists

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# Insert TAB B. Contents

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# APPENDIX J. PANDEMIC

Unlike other hazards that necessitate the relocation of staff performing essential functions to an alternate operating facility, a pandemic may not directly affect the physical infrastructure of the organization and a traditional “continuity activation” may not be required.

This appendix serves as supplemental guidance for maintaining essential functions and services during a pandemic outbreak, addressing additional considerations, challenges, and elements specific to the dynamic nature of a pandemic.

Planning Assumptions

This Appendix is based on the following assumptions:

* Susceptibility to a pandemic virus will be universal.
* Efficient and sustained person-to-person transmission signals an imminent pandemic.
* The clinical disease attack rate will likely be higher in the overall population during the pandemic with illness rates being highest among school-aged children and working adults.
* Some persons will become infected but not develop clinically significant symptoms. Asymptomatic or minimally symptomatic individuals can transmit infection and develop immunity to subsequent infection.
* Of those who become ill, more than half will seek outpatient medical care depending on the availability of effective antiviral drugs for treatment.
* The number of hospitalizations and deaths will depend on the virulence of the pandemic virus.
* Rates of absenteeism will depend on the severity of the pandemic.
* Persons who become ill may continue to shed virus and transmit infection, even before the onset of symptoms.
* Multiple waves (periods during which community outbreaks occur across the country) of illness could occur.
* Organizations will be provided with guidance and/or direction by federal, state, territorial, tribal and/or local governments regarding current influenza pandemic status in its area.
* The **[Department Name]** will review its continuity communications programs to ensure full capability of supporting pandemic and other related emergencies, giving consideration to supporting social distancing operations, including telework and other virtual office options.
* Military-controlled buildings will be accessible, but right of entry may be limited.
* Travel restrictions, such as limitations on mass transit, implemented at the Federal, State, and local levels may affect the ability of some staff to report to work.
* Human resources will be the most threatened by removing essential personnel from the workplace for extended periods of time.
* The TN Department of Health (TDH) plays the primary role in identifying and responding to pandemic outbreaks.
* A unified command may be determined as an appropriate structure for the response.

Concept of Operations

The **[Department Name]** will monitor the severity of the pandemic and follow continuity activation protocols as detailed in the continuity plan.

Preventative practices may be enacted to reduce the spread of the pandemic:

* Social Distancing
* Mask wearing initiatives/requirements
* Increased hygiene measures
* Work Schedules and Rotating shifts
* Additional Staffing
* Telework
* Vaccination of employees and families
* Cancellation of organizations non-essential activities and training

Orders of Succession/Delegations of Authority

A pandemic may affect regions of the United States differently in terms of timing, severity, and duration. At the height of a pandemic wave, absenteeism may be significant. Should senior leadership become unavailable or incapacitated, the organization will follow the order of succession/delegation of authority laid out in [**APPENDIX F/*Leadership and Staff*]**.

Continuity Facilities

The traditional use of continuity facilities to maintain essential functions and services may not be a viable option during a pandemic. Rather, developing safe work practices, which include social distancing and transmission interventions, can reduce the likelihood of contacts with other people that could lead to disease transmission.

The **[Department Name]** will implement work-at-home or telework schedules as established by, and in accordance with, Department of Human Resources (DOHR) policies.

Communications

Workplace risk can be minimized through implementation of systems and technologies that facilitate communication without person-to-person contact. Additional detailed information on the **[Department Name]**’s communications systems and requirements is found in [**APPENDIX E/*Continuity Communications*]**.

Human Resources

Although a pandemic influenza outbreak may not directly affect the physical infrastructure of an organization, a pandemic will ultimately threaten all operations by its impact on an organization’s human resources. The health threat to personnel is the primary threat to maintaining essential functions and services during a pandemic outbreak.

DOHR maintains guidance and direction for personnel on human resources issues (see **APPENDIX G/*Logistics and Resources***).

Devolution

Pandemic outbreaks will occur at different times, have variable durations, and may differ in severity; therefore, full or partial devolution of essential functions may be necessary to continue essential functions and services. If a pandemic renders leadership and essential staff incapable or unavailable to perform their essential functions, temporary leadership of the **[Department Name]** may devolve to **[insert office name and location]**, as applicable.

Reconstitution

TEMA will continue to operate in a continuity capacity until ordered to cease operations by the **[Department Head title]**, or other authorized person. Not all employees may be able to return to work at the time of reconstitution and it may be necessary to reconstitute personnel in phases.

The **[Department Name]** will coordinate with DOHR during reconstitution to transition from virtual operations back to normal operations with minimal disruption to performance of essential functions.

World Health Organization Phases

The World Health Organizations (WHO) developed an alert system to help inform the world about the seriousness of a pandemic, consisting of six (6) phases. The phases are applicable globally and provide a framework to aid countries in pandemic preparedness and response planning.

|  |  |
| --- | --- |
| **World Health Organization Pandemic Phases** | |
| Phase 1 | No animal virus circulating among animals has been reported to cause infection in humans |
| Phase 2 | An animal virus circulating in domesticated or wild animals is known to have caused infection in humans and is therefore considered a specific potential pandemic threat. |
| Phase 3 | An animal or human-animal reassortant virus has caused sporadic cases or small clusters of disease in people, but has not resulted in human-to-human transmission sufficient to sustain community-level outbreaks. |
| Phase 4 | Human-to-human transmission (H2H) of an animal or human-animal reassortant virus able to sustain community-level outbreaks has been verified. |
| Phase 5 | The same identified virus has caused sustained community level outbreaks in two or more countries in one WHO region. |
| Phase 6 | In addition to the criteria defined in Phase 5, the same virus has caused sustained community level outbreaks in at least one other country in another WHO region. |
| Post-Peak Period | Levels of pandemic influenza in most countries with adequate surveillance have dropped below peak levels. |
| Possible New Wave | Level of pandemic activity in most countries with adequate surveillance rising again. |
| Post-Pandemic Period | Levels of activity have returned to the levels seen for seasonal influenza in most countries with adequate surveillance. |
|  | |

# APPENDIX K. GLOSSARY

*The glossary should list key words and phrases used in the Continuity Plan that require explanation. An example of some key words and phrases that would be used in the Continuity Plan area listed below.*

**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 (i.e., 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.

**Pandemic –** An epidemic of an infectious disease that has spread across a large region, for instance multiple continents or worldwide, affecting a substantial number of individuals.

**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.

# APPENDIX L. ACRONYMNS

*The acronyms and abbreviations used in the organization’s continuity plan should be listed and defined in this APPENDIX. Examples of acronyms are listed below.*

AAR After Action Report

ASEOC Alternate State Emergency Operations Center

BIA Business Impact Analysis

BPA Business Process Analysis

CAP Corrective Action Program

CAT Crisis Advisory Team

CEP Comprehensive Exercise Plan

CGC Continuity Guidance Circular

COG Continuity of Government

COOP Continuity of Operations Plan

DOHR Department of Human Resources

EMAP Emergency Management Accreditation Program

ERG Emergency Relocation Group

ERP Essential Records Plan

ESC Emergency Services Coordinator

ESF Emergency Support Function

JIC Joint Information Center

IT Information Technology

MEF Mission Essential Function

MOA Memorandum of Agreement

MOU Memorandum of Understanding

MYTEP Multi-Year Training & Exercise Program

PAO Public Affairs Officer

PIO Public Information Officer

POC Point-of-Contact

RCC Regional Coordination Center

SEOC State Emergency Operations Center

SOG Standard Operating Guide

SOP Standard Operating Procedures

STS Strategic Technology Solutions

STTEF State, Territorial, and Tribal Essential Function

TEMA Tennessee Emergency Management Agency

TEMP Tennessee Emergency Management Plan

TCA Tennessee Code Annotated

TDH Tennessee Department of Health

TNEF Tennessee Essential Function

TT&E Test, Training, and Exercise

WHO World Health Organization