

Miami-Dade County, Florida
(your Department name
here)

Continuity of Operations
Plan (COOP)
Template



Delivering Excellence Every Day

(Insert your department info
here, see sample below.)

Miami-Dade County
Office of Emergency Management
9300 NW 41st Street
Miami, FL 33128
(305) 468-5400
www.miamidade.gov/oem

(Insert date submitted here)

GUIDE INSTRUCTIONS, PLEASE READ THOROUGHLY

***All text in red provides information, guidance, or alerts to necessary insertions. Please delete this text after reading and taking requested actions. Text not highlighted may be kept as is or edited to meet Departments' needs or your individual writing style as long as the context remains. **Text highlighted in yellow lets you know that the determination used for a specific item may not be the one you use, so the text must be edited and the highlight removed.**

The provisions of this guideline are applicable to all Miami-Dade County departments, authorities, and independent agencies or trusts as mandated by Chapter 8B of the Miami-Dade County Code. The designated COOP Program Manager has the overall responsibility of compiling and maintaining the plan. This position should establish a COOP committee that meets regularly, assuring that development stays on track. Sections may be delegated to appropriate personnel or subject matter experts. Senior management should be represented or readily accessible for any senior management level decisions.

The COOP must be organized and components follow the numbering as they appear on the Table of Contents. All sections listed in the Table of Contents are mandatory and no section should be omitted or its order of appearance changed.

Approval methodology

- Step 1 An electronic copy of the completed, but unsigned COOP, is submitted to the Office of Emergency Management (OEM) in word format. This may be via email or on a CD.
- Step 2 Upon review, if there are minor edits needed, the COOP Program Manager will be contacted, the edits discussed and, if feasible, the corrections made by the OEM. An email detailing the corrections will be sent.
- Step 3 If the OEM determines that the COOP requires more substantial editing it will be returned and after the corrections/edit are made, steps 1 and 2 repeated.
- Step 4 Upon notification, via email, that the COOP is satisfactory, it is to be signed, scanned, placed on a CD and forwarded to the OEM's COOP Coordinator.
- Step 5 Once the OEM is in receipt of the CD, with the approved and signed COOP, a Memo of Compliancy is sent.

Signatories

This Continuity of Operations Plan (COOP) for [Department Name Here] has been reviewed by department leadership and has been approved for submittal to the Office of Emergency Management (OEM) for annual compliance review.

Name of Department Leadership:

Title of Department Leadership:

Signature of Department Leadership:

Date Reviewed:

Plan Security

While a Continuity of Operations Plan (COOP) is not considered a classified document, it does contain sensitive information and its handling and distribution should be controlled and limited, both electronically and in hard copy.

As per Florida Statute 119.071 (3), this document is a "Security System Plan" held by a governmental agency and therefore is confidential and exempt from disclosure under Florida Statute 119.07(1) and S. 24(a), Article I of the Florida State Constitution.

HB 597 2011: An act relating to public records; amending s. 119.071, F.S.; providing an exemption from public records requirements for information furnished by a person to an agency for the purpose of being provided with emergency notification by the agency; including the person's name, address, telephone number, e-mail address, or other electronic communication address. The bill is effective July 1, 2011 and provides for retroactive application of the exemption for information currently held.

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I. INTRODUCTION

Continuity planning is defined by the U.S. Department of Homeland Security (DHS) and the State of Florida Division of Emergency Management (FDEM) as the good business practice of ensuring the execution of essential functions through all circumstances.

Development and maintenance of a Continuity of Operations Plan (COOP) is legislated by Chapter 8B of the Code of Miami-Dade County. This legislation dictates that all County departments, agencies or trusts submit an emergency preparedness contingency plan to the Office of Emergency Management (OEM) by the last day of March each year. It further dictates that the following areas are addressed:

- a. A departmental or agency risk assessment and vulnerability analysis;
- b. Preparedness and mitigation activities including procedures for employees who perform pre-event activities or shut down critical operations;
- c. Operational procedures of the departmental or agency operations center or command post;
- d. Direction and control including authorities and responsibilities of key personnel and the chain-of-command;
- e. Communications (primary and back-up) systems that will be used to keep employees, on-duty and off-duty, informed of departmental response activities, to coordinate employees in order to carry out departmental missions, to keep in contact with customers and suppliers, and to coordinate with the Miami-Dade Emergency Operations Center (EOC);
- f. Life safety procedures including employee alert and notification, assembly and accountability, evacuation procedures, employee/family preparedness and welfare;
- g. Protection of facilities, equipment, supplies, and vital records;
- h. Recovery and restoration of services including employee support, critical asset repair/replacement, and the continuity of operations;
- i. Operating procedures for documenting departmental or agency emergency personnel, equipment, services, and materials expenditures and for their recovery or reimbursement from appropriate local, state, and federal sources;
- j. Public information;
- k. Administration and logistics.

It is the mission of Miami-Dade County to “deliver excellent public services that address our community’s needs and enhance our quality of life”. Many of the activities supporting that mission grow exponentially with the size and complexity of any one disaster.

This Continuity of Operations Plan (COOP) defines the internal efforts that assure the capability exists for **[Insert Department Name Here]** to continue its essential functions in response to a broad spectrum of disasters or operational interruptions.

I.1. Purpose

Previous disasters with local impacts as well as those more current that have devastated different parts of the country have clearly demonstrated the need for viable continuity of operations capabilities. The overall intent of this COOP is to ensure that **[Insert Department Name Here]** continues delivering its mission essential functions throughout any and all adverse conditions, including the loss of a critical number of staff, primary facility or executive leadership.

I.2. Applicability and Scope

The provisions of this continuity document are applicable to all facilities and staff under the **[Insert Department Name Here]**. This plan may be implemented in its entirety or components used to manage smaller, less complex operational interruptions. It details all the requisite components of a viable coop; such as direction and control; authorities and references and common and specialized procedures.

I.3. Situation

Miami-Dade County provides essential services to 2.5+ million residents. This number more than doubles when including the tourist population. The population is multi-cultural and economically diverse.

It has two established disaster seasons; hurricane season, running from June 1 through November 30, and wildfire season that, dependent upon rainfall, can run from October through May.

The disaster seasons notwithstanding, Miami-Dade County is subject to a variety of both natural, technological, and man-made disasters. Given this, the County has developed a Threat Hazard Identification and Risk Assessment that allows emergency managers and community leaders to measure and better understand the potential impact of disasters as it relates specifically to damage to property, critical infrastructure, economic loss, casualty, and fatalities.

I.4. Authorities

- a. Miami-Dade County Ordinance 8B Emergency Management, 2017:
http://library.municode.com/HTML/10620/level2/PTIIICOR_CH8BEMMA.html

Specifically 8B-9 section: County Department Preparedness Contingency Plans:
http://library.municode.com/HTML/10620/level2/PTIIICOR_CH8BEMMA.html#PTIIICOR_CH8BEMMA_S8B-9CODEPRCOPL
- b. Florida Statutes, Section 252.35 (Division of Emergency Management):
http://www.leg.state.fl.us/Statutes/index.cfm?mode=View%20Statutes&SubMenu=1&App_mode=Display_Statute&Search_String=252.35&URL=0200-0299/0252/Sections/0252.35.html
- c. Florida Statutes, Section 252.38 (Counties & Political Subdivisions):
http://www.leg.state.fl.us/statutes/index.cfm?mode=View%20Statutes&SubMenu=1&App_mode=Display_Statute&Search_String=252.38&URL=0200-0299/0252/Sections/0252.38.html
- d. Presidential Policy Directive / PPD-8: National Preparedness, September 23, 2015:
http://www.dhs.gov/xabout/laws/gc_1215444247124.shtm#1

[Insert additional Authorities Here]

I.5. References

- a. Federal Continuity Directive 2, Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process, June 13, 2017:
<https://www.fema.gov/media-library-data/1499702987348-c8eb5e5746bfc5a7a3cb954039df7fc2/FCD-2June132017.pdf>
- b. Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements, January 17, 2017:
<https://www.fema.gov/media-library-data/1486472423990-f640b42b9073d78693795bb7da4a7af2/January2017FCD1.pdf>
- c. Continuity Guidance Circular, FEMA National Continuity Programs, February 2018:
<https://www.fema.gov/media-library-data/1520878493235-1b9685b2d01d811abfd23da960d45e4f/ContinuityGuidanceCircularMarch2018.pdf>
- d. National Continuity Policy Implementation Plan (NCPIP), December 1, 2013:
<https://www.fema.gov/media-library/assets/documents/85665>

- e.. Developing and Maintaining Emergency Operations Plans, Comprehensive Preparedness Guide (CPG) 101 (version 2), November 1, 2010:
<https://www.fema.gov/media-library/assets/documents/25975>

- f. Department of Homeland Security - Executive Order 13636 Improving Critical Infrastructure CyberSecurity and Presidential Policy Directive (PPD)-21 Critical Infrastructure Security and Resilience, July 12, 2017:
<https://www.dhs.gov/publication/eo-13636-ppd-21-fact-sheet>

[Insert additional References Here]

II. CONCEPT OF OPERATIONS

This COOP provides a flexible, scalable strategy to manage and recover from events or situations that have a direct adverse effect on (Insert Department Name Here). Following the initial crisis response and any life safety issues, the department focus will shift to continuity of operations.

II.1. Plans and Procedures

The importance of this planning is that it enables the organization to continue vital services, exercise its civil authority, maintain the safety and well-being of the general populace, and sustain the industrial and economic base in an emergency.

1a. Name/position of staff responsible for developing COOP plan:

Name: _____

Position/Title: _____

Contact number(s): _____

Each agency should develop plans or Standard Operating Procedures (SOPs) specific to the overall organizational mission. Preparedness and mitigation activities including procedures for employees who perform pre-event activities or shut down critical operations should be incorporated into the plan or SOPs. Please list what SOPs or plans will work in concert with this COOP.

1. _____

2. _____

3. _____

Add more if necessary.

II.2. Planning Assumptions and Considerations

This section should familiarize the reader with the underlying assumptions made during the planning process. While some assumptions remain static for any COOP, others will be agency-centric.

Planning assumptions are those specialized requirements for your organization that will cause the plan to FAIL if it is not TRUE. This Continuity Plan is based on the following assumptions:

- This COOP is current and all department staff are familiar with it and their respective responsibilities.
- Some or all components of this plan may be implemented depending upon the size and complexity of any one event.
- The immediate relocation of personnel to a designated alternate facility may be facilitated should it be called for in a crisis situation.
- This document sets forth lines of authority and organizational relationships and details how staff will be coordinated.
- Adequate financial and personnel resources will be made available each year to test this plan.
- There will be a sufficient number of surviving and available personnel, including adequate supporting personnel, to continue essential functions.

[Insert additional assumptions here]

II.3. Mission Essential Functions

Identifying and prioritizing mission essential functions (MEFs) are requisite for continuity planning as they drive the County’s preparedness, response and recovery efforts. Any event that triggers implementation of the COOP could mean that resources and staffing may be limited compared to normal operations. The Chart below lists **[Insert Department Name Here]** mission essential functions along with its recovery time objective.

SAMPLE

The following table shows examples of prioritized essential functions for a fictitious organization, the Bureau of Water Management. Please use this table when identifying and prioritizing your MEFs. Add as many rows as necessary.

Priority	Essential Functions	*Recovery Time Objective
1	Administer programs to protect the region’s water supply and the health of the public.	Mitigation is ongoing. Water testing is conducted immediately post-incident.
4	Approve and oversee cleanups of contaminated sites.	Within 4 hours of incident.
5	Plan and implement regional flood control programs.	Mitigation / Preventive measures are ongoing.
6	Department Rep to EOC in accordance with CEMP and county’s disaster operations.	Within 1-2 hours of EOC activation.
7	Points of Distribution Site (PODS)	Determination made Post-Disaster
<i>*Recovery Time Objective (RTO): depends on nature of the event, extent of damage and available resources at the time of the incident.</i>		

II.4. Delegations of Authority

Delegations of Authority specify who is authorized to make decisions or act on behalf of the department/agency head and other key leadership for specific purposes during COOP emergencies. The **[Insert Department Name Here]** Delegation of Authority is by virtue of its standing as a County Office. The Table of Organization is used to construct this chart. **If the TO is not the determining factor please remove.**

Authority has been delegated for the purposes of:

- Approving emergency policy changes
- Approving changes in standard operation procedures (SOPs)
- Empowering designated representatives to participate as members of interagency emergency response teams to act on behalf of the department/agency head
- Making personnel management decisions
- Approving the commitment of resources
- Signing Contracts

Identify who is authorized to act on behalf of senior leadership for specified purposes and ensure that designated individuals have the *legal authority* to carry out their duties. These authorities should be identified by title or position and not by the individual office holder's name.

Each agency or department should identify that those conferred with delegated authority are prepared to perform emergency duties. Please document which authorities can and should be delegated, to whom, under what circumstances, including when delegation becomes effective and when it terminates, and any limitations.

Pre-determined delegations of authority generally take effect when normal channels of direction and control are disrupted and terminate when those channels have resumed. During a continuity event, Delegations of Authority shall follow as defined below.

Delegation of Authority, Department Head		
Position	Authority	Limitations
Deputy Director	Full	None

If the TO is not used and full authority not granted you may either use the table below to define each authority or use whatever method you desire as long as you describe what position is given authority, to do what, and under what circumstances.

Delegation of Authority, Procurement		
Position	Authority	Limitations
Division Manager	Purchasing	Purchases under \$10,000.

4a. Individual(s) delegated authority (specific which authority): _____

4b. By whom: _____

4c. Under what circumstances: _____

4d. Limitations to authority: _____

II.5. Orders of Succession

Orders of succession enable an orderly transition of pre-identified leadership within the organization. This section establishes the rules and procedures addressing: conditions for succession; method of notification; and time, geographical, and organization limitations. It further identifies which authorities can/should be delegated and to whom, along with any limitations.

Orders of Succession will be executed when:

- Department head/Key leadership positions are not present
- There is a change of command
- Command is voluntarily relinquished
- Debilitating injury or death

Each department can utilize their existing table of organization in identifying orders of succession for department heads and other key leaders at least three positions deep. Please ensure that those identified are prepared to perform emergency duties.

- Use titles or positions rather than persons.
- Establish succession for key positions at headquarters and regional locations.
- Revise and distribute orders of succession as necessary.

Orders of Succession	
Position	Phone
Department Director	(305) 555-0000

Be sure to document the information listed below:

5a. Successors will be notified by _____

5a. Location of Orders of Succession: _____

5b. Name of individual(s)/position(s) and phone number with access to Orders:

Name: _____ Phone: _____

Name: _____ Phone: _____

II.6. Devolution

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

Devolution planning supports overall continuity planning and addresses the full spectrum of threats and all-hazards 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 location or its alternate location(s). This section addresses how the devolution of **[Insert Department Name Here]** will evolve.

At a minimum a devolution plan should:

1. Include the following elements of a viable continuity of operations capability: program plans and procedures, budgeting and acquisitions, essential functions, orders of succession, delegations of authority, continuity communications, vital records management, human capital, TT&E, and reconstitution operations.
2. Identify prioritized essential functions for devolution, define tasks that support those essential functions, and determine the necessary resources to facilitate those functions’ immediate and seamless transfer to the devolution site.
3. Include a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and who will have the authority to perform essential functions and activities when the devolution option of the continuity plan is activated.
4. Identify what would likely activate or “trigger” the devolution option.
5. Specify how and when direction and control of organization operations will be transferred to and from the devolution site.
6. List the necessary resources (e.g., equipment and materials) to facilitate the performance of essential functions at the devolution site.
7. Establish and maintain reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods.
8. Establish and maintain a capability to restore or reconstitute organization authorities to their pre-event status upon termination of devolution.

II.7. Evacuation/Staging Area

Please define the facilities evacuation routes; i.e., the number of employees, the size of the building, its occupancy, or the arrangement of the workplace allows all employees/visitors to evacuate safely during an emergency through the entrance. If your building has pre-established/posted evacuation routes it needs to be explained here.

Should the evacuation of any facility be called for during business hours, staging areas have been pre-designated to which staff and visitors will muster and await instructions? This also provides for the accounting of all individuals. **Include map on this page or as a separate annex.**

Copies of the *Staging Area and Re-entry Status* form are kept in the locations listed below and the Safety Officer (or designee) will be responsible for taking and completing this form upon exit from building.

- Director's Secretary's desk
- Safety Officer's office
- COOP Coordinator's desk

Staging Area and Re-entry Status Form:

Date: _____ **Time:** _____

Staging Area Information

Roll call taken at staging area? Yes No

Everyone accounted for from your department? Yes No

How many employees or visitors missing: _____

Names if available:

Any injuries to personnel or visitors from your department? Yes No

First aid required to any personnel from your department? Yes No

How many injured or require First Aid: _____

Names if available:

Please ensure that all injured personnel are placed on the “Injury Log” when you return to your office.

Re-entry Information

Re-entry complete and all personnel accounted for? Yes No

Time of Re-entry: _____

Status of Department after Re-entry

Damage to Department? Yes No

Security problems? Yes No

Upon completion of this form at the staging area, please submit to Building Management personnel so action can be taken by the Police & Fire Departments, if needed.

II.8. Alternate Facilities

The COOP plan should designate an alternate operating facility with sufficient space, equipment, infrastructure systems, and logistical support to maintain operations for up to 30 days.

Physical security and personnel access control measures should be taken into account. Agencies should consider pre-positioning minimum essential equipment at the alternate facility. Consider cooperative or mutual aid agreements with other agencies and/or virtual office technologies.

The alternate facility provides enough usable area to set up temporary space to accommodate essential staff and functions until normal operations are resumed. The facility provides for:

- accommodations for appropriate number of staff;
- performance of essential functions within 12 hours, up to 30 days;
- logistical support, services, and infrastructure systems;
 - climate control
 - restrooms
- the health, safety, and emotional well-being of personnel;
- interoperable communications;
- computer equipment and software; and
- badge/security access.

8a. Name of alternate facility: _____

Address: _____

Primary Contact person: _____

Phone Numbers _____

Secondary Contact person: _____

Phone Numbers: _____

8b. Equipment and number of each on-site:

If equipment, (i.e. computers, laptops, phone consoles, cell phones) are not onsite you need to explain how they will be obtained for the identified alternate location.

Identify for the Alternate location, what are the departmental emergency IT requirements (Personal Desktop, Thin Clients, TELCO, VOIP, Mobile Phones and Tablets requirements)?

(Your responses to #8b will be utilized in answering Annex D: question #4)

Use the chart below to list the items you will need to continue operations at the alternate locations. Add more rows if necessary.

# Needed	Item + size if applicable	# Needed	Item + size if applicable
4	8' long tables		
36	chairs		

8c. Does a cooperative or mutual aid agreement exist: Yes___ / No___ / N/A___
 If so, please attach the agreement as an annex to the COOP.

8d. Does your department have a Command Center that would activate in the event you need to COOP to your alternate facility? Yes___ / No___ / N/A___
 If so, what is the location of your department's Command Center?

(Your response to #8d needs to be copied & pasted into Annex D: question #3)

II.9. Interoperable Communications

Interoperable communication can be defined as the ability of a system to work with or use the parts or equipment of another system. Continuity communication capabilities include access to the Department's data and systems as well as the data and systems of other departments that are necessary to conduct mission essential functions.

In this section, identify current and redundant critical communication systems that are used and will be located at the alternate facility. This includes systems (primary and back-up) that will be used to keep employees, on-duty and off-duty, informed of departmental response activities, to coordinate employees in order to carry out departmental missions, to keep in contact with customers and suppliers, and to coordinate with the Miami-Dade EOC.

Consideration should be given to the full spectrum of communication methods: landlines, cellular, satellite, wireless, hand-held radios, etc.

Interoperable communications should provide:

- (1) Internal and external communication
- (2) Secure and open channels of communication
- (3) Voice, fax, data, Internet, email
- (4) Access to data and systems
- (5) Ability to support COOP operational requirements
- (6) Ability to operate at the alternate facility within 12-hours, and for up to 30 days
- (7) Interoperability with existing field infrastructures

9a. Based on your department's mission essential functions, what are the departmental communications requirements during an emergency at your main location?

1. Radio?
2. Telco
3. Wide Area Network requirements (VOIP, Laptops, Desktops, Tablets)

(Your responses to #9a need to be copied & pasted into Annex D: question #1)

Add as many rows as need to identify the servers and databases and their locations.

9b. Identify how many hours the business can sustain functionality with limited IT capabilities before county business operations are impacted?

(Your response to #9b needs to be copied & pasted into Annex D: question #8)

II.10. Vital Records and Databases

Vital Records refer to electronic and hardcopy documents, information systems and applications, references and records needed to ensure the continuance of identified essential functions. There are two types of vital records. The first are ‘emergency operating records’ that are essential to the continued functioning of an organization during and after an emergency. The other is ‘rights and interests’ records that are crucial for the protection of the legal and financial rights of the organization and of the individual directly affected by the organization’s activities. The table below reflects the records vital to support continuance of the mission essential functions. Please refer to **ANNEX C** for a list of mission-critical applications.

Examples of:

Emergency Operation Records – emergency plans, orders of succession, delegations of authority, directives, etc.

Rights and Interest Records – payroll, accounts receivable, retirement, insurance, vendor contracts, etc.

Add or subtract necessary rows so that this chart accommodates your vital records or databases.

Vital Records					
Document	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Server / Storage Location	Maintenance Frequency
COOP Plan	Electronic	X		X	X
Phone Roster	Hardcopy		X		X

10a. Address of off-site records storage facility: _____

10b. Back-up mechanisms for vital records: _____

(Your responses from this section will be utilized in answering Annex D: question #5)

III. ADMINISTRATION AND LOGISTICS

This section explains how personnel issues and coordination are managed including the notification of staff during business and off-duty hours; how the program is managed; and the roles of leadership and staff. It defines how the COOP is evaluated through testing processes that how its effectiveness is determined through exercises.

It further defines how the department will complete and maintain accurate records at all times to ensure an efficient emergency response and recovery. This includes, for example, records that are required by regulation, necessary for federal/state reimbursement, or could support the department in cases of legal action after the incident.

Agencies should determine to what level they can self-sustain their emergency operations and then develop procedures to acquire services, personnel, resources, and equipment necessary to perform mission essential functions. Mutual aid should be considered, if applicable. Memorandums of understanding (MOUs) should be established with any entities that may be utilized.

- Identify, pre-position and maintain equipment/resources needed at alternate site.
- Provide for telecommunications and information technology (IT) support at alternate facility.
- Establish provisions for personnel (parking, dining facilities, security, etc.) at alternate site.
- Develop and maintain site-support procedures that clearly state the process and responsibility for receiving, supporting, and relocating personnel and equipment at the alternate site.

a. Name(s)/position(s) of site-support staff: _____

Contact number(s): _____

b. Name of IT support personnel/company: _____

Contact number(s): _____

III.1. Personnel Issues and Coordination

This section addresses the health, safety, and emotional well-being of all employees and their families. It further addresses the procedures for alerting, notifying and moving employees.

In this section you need to:

- Show a communications plan to disseminate information to employees during:
 - duty and non-duty hours
 - events with or without warning.

Please see attached “contact tree – notification procedures” form (Annex B).
- Address Facility Lockdown procedures, communicating threats to employees and actions to be taken.
- Address the health, safety, and emotional well-being of employees and their families.
- Assure personal preparedness for staff through training and education; encourage staff to develop personal preparedness plans and kits for themselves and their families.
- Address pay status, leave time, and potential lay-offs, recommendation for direct deposit of payroll checks, ePar (timesheet submission process).
- Address medical, special needs (alternate site should be accessible) and travel issues of staff.
- The position/contact info for position responsible for maintaining the communications plan
- The position/contact info for position responsible for employee preparedness training
- Plans for social distancing (employees working in different locations) in the event of a health emergency involving a communicable disease, i.e. influenza.

III.2. Reconstitution

Reconstitution is the process of moving from the alternate facility back to the original or new primary site. This mirrors that of the initial move to the alternate facility in that its objective is to continue performing the essential functions during the transition period.

Reconstitution involves three main tasks:

- Transitioning from continuity status to normal operations after the disruption.
 - Within 24 hours of an emergency relocation (after receiving approval from the agency/department), the organization should initiate and coordinate operations to salvage, restore, or recover the agency's building, equipment and systems.
- Coordinating and planning for reconstitution regardless of the level of disruption.
 - Options include movement to the continuity facility from the department's primary facility or to a new facility when the originating facility is rendered unstable or uninhabitable.
- Outlining the procedures for a smooth transition from a relocation site to a restored facility.
 - Returning to the primary facility, if available, or procedures for acquiring a new facility through Internal Services Department (ISD).

Reconstitution is a five-step process:

- Notify all personnel that the threat or actual emergency no longer exists.
- Provide instructions for the resumption of normal operations.
- Supervise the orderly return to the normal operating facility.
- Report agency/department status, as appropriate.
- Conduct an after-action review of continuity operations.
 - Develop a corrective action plan based on an evaluation of the continuity operations. No TT&E event can offer the kind of insight into the strengths and weaknesses of a continuity program that actual operations will provide.

III.3. Testing, Training, and Exercising (TT&E)

Establishing a continuity testing, training, and exercise program includes measures to ensure that a department's continuity program is capable of supporting the continued execution of its essential functions throughout the duration of a continuity situation.

A comprehensive TT&E program evaluates policies and procedures, ensures that staff is properly trained, and verifies that resources and equipment are capable of supporting operations. Each element of the COOP plan should be evaluated through exercises and a procedure established to correct any deficiencies in the plan.

At a minimum, agencies should:

3a. Develop exercise program and schedule:

- Conduct orientation and training for COOP planning committee members.
- Exercise operational plans, alternate facilities, and interoperable communications; plan joint agency exercises.
- Develop a schedule to evaluate and test equipment.
- Reflect on lessons learned from previous TT&E events or activations.
- Develop an after-action report (AAR) / corrective action plan (CAP) with timelines for correcting deficiencies identified during the exercise.

3b. Update notification checklists and rosters regularly:

- Periodically test alert and notification procedures; update rosters and notification checklists.
- Update plans and procedures as necessary or, at minimum, on an annual basis.

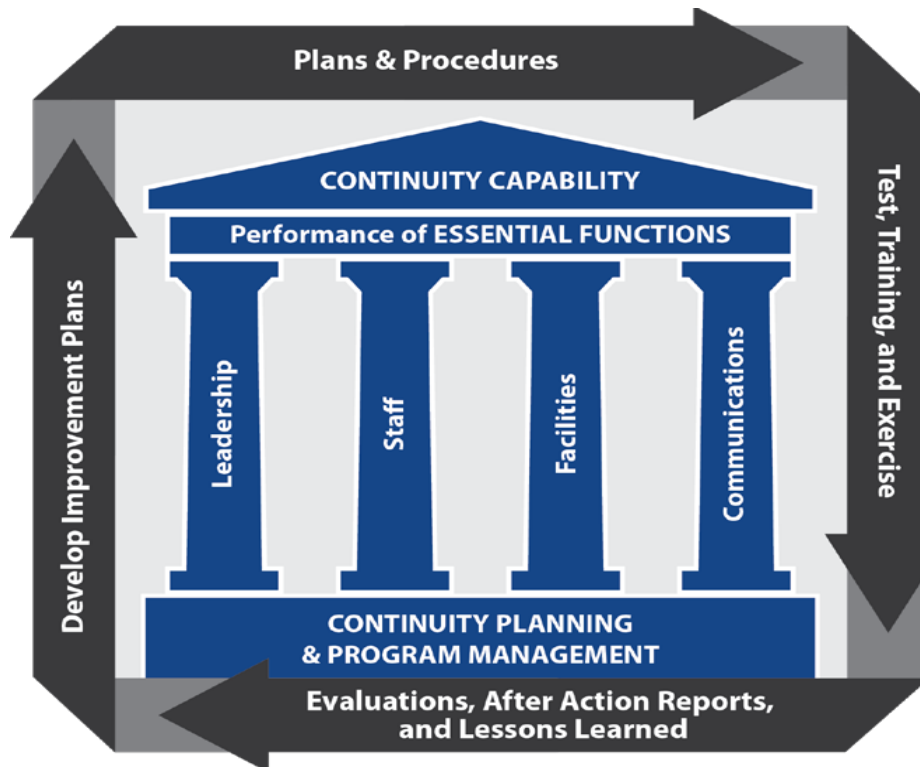
III.4. Program Management

Please demonstrate the department’s strategic, long-range COOP planning process that includes anticipated funding requirements. The Multi-Year Strategy and Program Management Plan should define organizational vision, mission statement, goals and objectives and should identify a current inventory of internal and external resources, resource shortfalls (*including steps to overcome those shortfalls*), and operation and maintenance costs. Costs should include any new equipment that the department would need in order to sustain operations at an alternate site for up to 30 days.

Establishment of standardized planning and procedural objectives and requirements ensures sustainment of essential functions during a catastrophic emergency.

Use of the Continuity Program Management Cycle (Figure 1) facilitates development and implementation of resilient continuity programs.

Figure 1. Continuity Program Management Cycle.



A Multi-Year Strategy and Program Management Plan (MYSPPM) provides planning guidance for the development of effective continuity programs that support the organization’s continuity mission. The MYSPPM serves as a roadmap for organizations to ensure that continuous activities and resources are acquired to sustain the program and support continuous improvement efforts.

Create a MYSPMP that provides for the development, maintenance, and annual review of continuity capabilities including at a minimum:

- a. Short- and long-term planning goals and objectives;
- b. Potential program implementation issues, concerns, and obstacles and a strategy to address each; and
- c. Planning, training, and exercise milestones and activities.

Fund requirements of the continuity program, at a minimum:

- a. Identify resources -- equipment, supplies, and personnel --necessary to sustain operations at alternate locations for a minimum of 30 days or until normal operations are resumed;
- b. Establish procedures for emergency procurement of equipment, supplies, services, and personnel to support continuity operations;
- c. Integrate continuity requirements into existing and future contracts and Memoranda of Understanding/Memoranda of Agreements (MOUs/MOAs) as applicable to ensure the continuation of essential functions during a continuity event for a minimum of 30 days or until normal operations are resumed; and,
- d. Integrate continuity programs into strategic plan objectives, performance metrics, and funding.

III.5. Leadership/Staff Roles and Responsibilities

Please address department leadership and staff responsibilities here, as well as what precipitates the COOP's activation. Examples are shown below

[Insert Department Name Here] Director – has authority to implement the COOP.

Please refer to ANNEX E for a decision-making matrix. The Director further establishes the priority for continuity planning by:

- appointing the COOP Program Manager
- ensuring budgetary support
- Delegation of Authority and Orders of Succession
- monitoring the progress of the planning effort
- giving final approval to the completed document

COOP Program Manager - holds responsibility for overall development and maintenance of the COOP by:

- serving as the Coordinator for continuity of operations
- chairing internal continuity planning team
- developing, coordinating, and managing all activities that enable the department to perform essential functions during a situation that may otherwise disrupt normal operations
- working collaboratively with other team members to ensure that all elements of a viable COOP are in place and functional

III.6. OEM COOP Coordinator

Department COOP Program Managers must contact Mirtha Gonzalez at the Office of Emergency Management once selected by their department director. Any questions or concerns regarding the COOP process should be directed to:

Mirtha (Miky) Gonzalez
Emergency Management Planner
Miami-Dade Office of Emergency Management
Phone: 305-468-5414
Fax: 305-468-5401
Email: gmirtha@miamidade.gov

ANNEX A: Acronyms

AAR	After-Action Report
CAP	Corrective Action Plan
COOP	Continuity of Operations Plan
DAE	Disaster Assistance Employee
EOC	Emergency Operations Center
ITD	Information Technology Department
ISD	Internal Services Department
OEM	Office of Emergency Management
MEF	Mission Essential Functions
MOU	Memorandum of Understanding
MYSPMP	Multi-Year Strategy and Program Management Plan
N/A	Not Applicable
PODS	Points of Distribution Site
RTO	Recovery Time Objective
SOP	Standard Operating Procedures
TT&E	Test, Training, and Exercise

Add Department-specific acronyms, if used.

ANNEX B: Contact Tree – Notification Procedures

(Replicate form if necessary or insert your Department's contact list or document)

The Primary/Alternate contact will be notified by: _____
Direct Supervisor or their designee

The Lead/Alternate contact will make at least _____ attempts over a period of _____
Number Number
hours to notify each person on their list, at any/all of the numbers listed:

Top: Name Bottom: Email Address	Contact Numbers	Contact Date & Time <small>(complete during emergency call-down)</small>
Call-down Lead Contact 1		
	Work	
	Home	
	Pager	
	Cell	
Call-down Alternate Contact 1		
	Work	
	Home	
	Pager	
	Cell	
Call-down Lead Contact 2		
	Work	
	Home	
	Pager	
	Cell	
Call-down Alternate Contact 2		
	Work	
	Home	
	Pager	
	Cell	
Call-down Lead Contact 3		
	Work	
	Home	
	Pager	
	Cell	
Call-down Alternate Contact 3		
	Work	
	Home	
	Pager	
	Cell	

ANNEX B: Contact Tree – Notification Procedures (continued)

CONTACT 1 notifies the following individuals: (replicate form as necessary)

Top: Name Bottom: Email Address	Contact Numbers	Contact Date & Time <small>(complete during emergency call-down)</small>
	Work	
	Home	
	Pager	
	Cell	
	Work	
	Home	
	Pager	
	Cell	
	Work	
	Home	
	Pager	
	Cell	
	Work	
	Home	
	Pager	
	Cell	
	Work	
	Home	
	Pager	
	Cell	
	Work	
	Home	
	Pager	
	Cell	
	Work	
	Home	
	Pager	
	Cell	
	Work	
	Home	
	Pager	
	Cell	

ANNEX C: Mission-Critical Applications

(Add or delete as many rows as necessary)

Critical Applications, Servers and Data Communications Systems			
Priority	Location	Application	Server Address

(Your responses from this section will be utilized in answering Annex D: question #5)

ANNEX D: ITD Continuity of Operations & Cyber-Incident Assessment Questionnaire

- 1) Based on your department's mission essential functions:
 - a. What are your department communications requirements during an emergency at your main location?
 1. Radio
 2. Telco
 3. Wide Area Network requirements (VOIP, Laptops, Desktops, Tablets)

(See section II.9 – Interoperable Communications (page 18-19) specifically # 9a) ... please copy and paste your responses here.

- 2) Specify any departmental seasonal requirements.
 - a. What are your specific requirements for ITD during this time?
 - b. In what period of the year does the seasonal requirement occurs (1 QTR, 2 QTR, 3 QTR, or 4 QTR)?

- 3) Does your Departmental COOP plan identify an alternate location to conduct Command Center Operations in the event your primary is disabled?

- a. If so where?

(See section II.8 – Alternate Facilities (page 18) specifically # 8d) ... please copy and paste your response here.

- 4) What is your department's alternate Business Operation Center, if your primary is inoperable?

- a. Where is this location? *(please provide complete address including which floor or office numbers)*

- b. For the identified alternate location. What are the departmental emergency IT requirements (Personal Desktop, Thin Clients, TELCO, VOIP, Mobile Phones and Tablets requirements)?

(See section II.8 – Alternate Facilities (page 17) specifically # 8b) ... please copy and paste your responses here.

ANNEX D: ITD Continuity of Operations & Cyber-Incident Assessment Questionnaire

- 5) Specify which computer systems are needed to support your departmental mission essential functions. Please identify the systems / applications and the types of services they provide. Some general examples are;
- a. System Control Data Acquisition (SCADA) industrial control systems
 - b. Billing / eCommerce
 - c. Public facing informational (Internet)
 - d. Customer service request systems
 - e. Internal workflow systems
 - f. Systems connecting with external entities/agencies

(See section II.10 – Vital Records and Databases (page 20) and Annex C: Mission-Critical Applications (page30)... please copy and paste your responses here.

- 6) Identify external systems which may impact departmental mission essential functions if systems are compromised or unavailable as a result of a cyber-incident.
- a. 911 / Public Safety
 - b. commercial data/cell phone service
 - c. internet
 - d. alert/warning
 - e. land mobile radio
 - f. electricity
 - g. water
 - h. wastewater
 - i. fuel
 - j. traffic management
 - k. transportation
 - l. access/security/alarm systems
 - m. Geographic Information Systems (GIS)
 - n. banking/finance
 - o. medical/healthcare
 - p. sensitive personal information of County customers or employees?

ANNEX D: ITD Continuity of Operations & Cyber-Incident Assessment Questionnaire

- 7) Describe your departmental cyber incident response plan.
- Who would lead the departmental cyber incident response coordination?
 - Who would you contact internally / externally to advise of a cyber-incident?
 - How do you obtain situational awareness / threat intelligence pertaining to cyber threats? How is that information shared?
 - How and to whom do you report suspicious cyber activity?

The statement below highlighted in yellow can be utilized as a response to # 7b and 7d; however, please state any other reporting processes your department utilizes.

Any suspicious cyber activity should be reported to the following:

- Help Desk at (305) 596-HELP
- ReportSpam@miamidade.gov

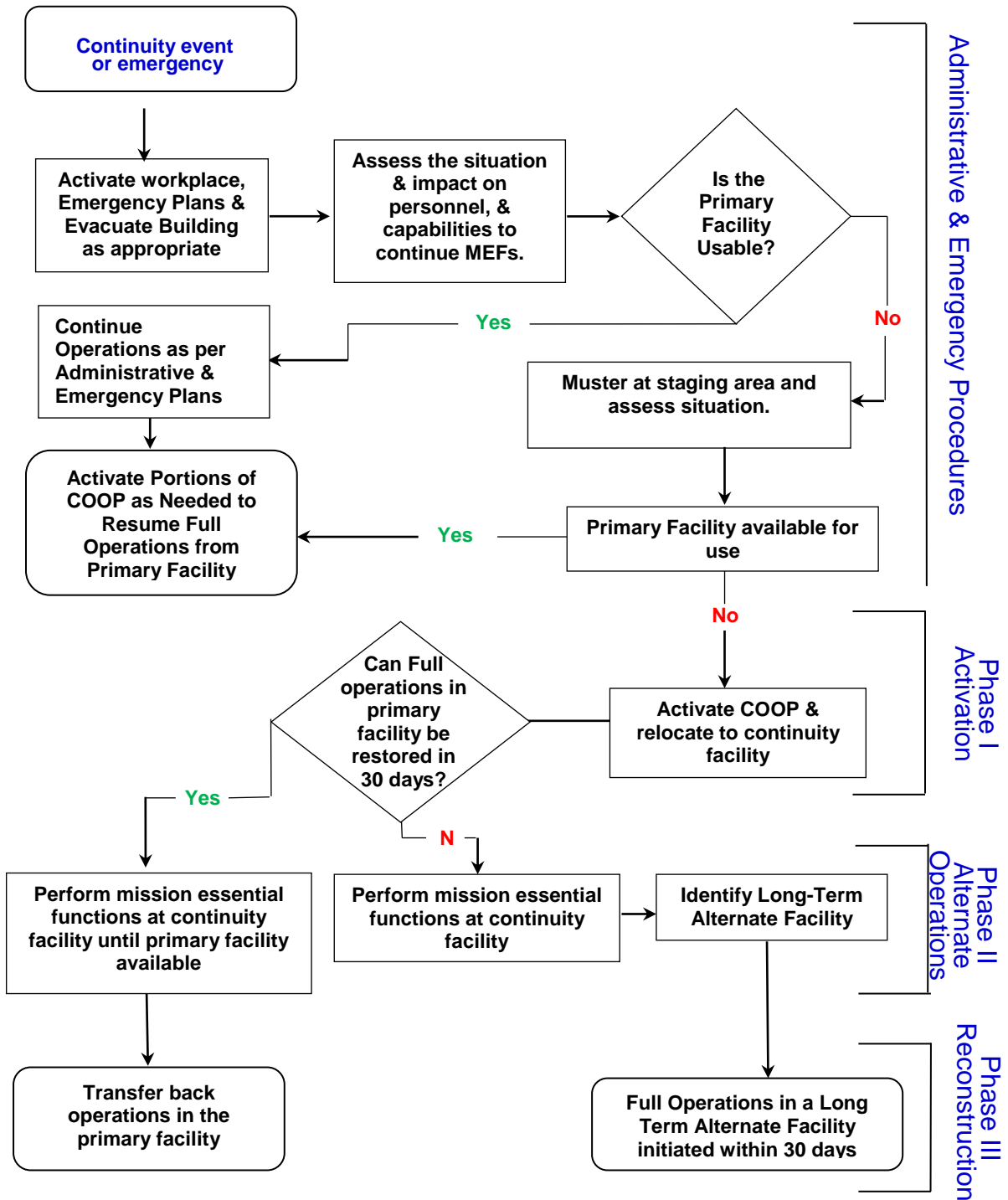
- 8) Identify the manual processes that have been established in advance of an emergency to mitigate partial Data Loss (Systems, Computer Equipment, Network etc.).

- If so, how many hours can the business sustain functionality with limited IT capabilities before county business operations are impacted?

(See section II.9 – Interoperable Communications (page 19) specifically # 9b) ... please copy and paste your responses here.

- 9) Does your department have specific requirements which includes ITD staff during a cyber-incident or when the COOP is activated?

ANNEX E: Decision Making Matrix



ANNEX F: Health Emergencies

Introduction

As part of the [Insert Dept Name] COOP plan, the health emergency section will outline processes and procedures associated with incidents affecting the health and well-being of department employees.

Health emergencies may present unique circumstances that require only certain components of the COOP, such as Personnel Management, to be implemented. These types of emergencies can present increased employee absenteeism (i.e. influenza), prompt social distancing as a preventative measure (i.e. pandemic), or other alternative workplace issues that may require the enactment of this COOP plan. Types of health emergencies, and other critical situations, include, but are not limited to:

- ***Influenza & Other Viral Outbreaks:*** Influenza and other viral outbreaks are health illnesses that can be easily transmitted from human-to-human contact.
- ***Bioterrorism:*** Bioterrorism is the threat of or the deliberate release of viruses, bacteria, or toxins used to cause illness or death in people, animals, or plants.
- ***Chemical Emergencies:*** A chemical emergency occurs when a hazardous substance has been released that has the potential for harming people’s health. Chemical releases can be unintentional, as in the case of an industrial accident, or intentional, as in the case of a terrorist attack.
- ***Mass Casualty Incidents:*** An MCI may cause employees to become ill or suffer emotional/physical stress even if they are not at or near the scene.

Typically, a COOP plan will be enacted for health emergencies when absenteeism in the workplace approaches 30 – 40 % of the workforce. Instances where this may occur include widespread viral outbreaks, such as an influenza pandemic.

Table 1: Pandemic Influenza

<i>Pandemic Influenza</i>
A potentially global disease outbreak.
Individuals have no previous exposure; little or no pre-existing immunity
Healthy people may be at increased risk for serious complications
Health systems may be overwhelmed
Vaccine may not be available in the early stages of a pandemic
Effective antivirals may be in limited supply
Symptoms may be more severe and complications more frequent
May cause major impact on society (e.g. widespread restrictions on travel, closings of schools and businesses,
Potential for severe impact on domestic and world economy

Source: www.flu.gov

Department Processes and Action Items

During a health emergency, the following processes and action items will be conducted:

1. Communicate health emergency situation or applicable incident to County Mayor's Office.

[In this space, identify department processes applicable to this objective]

2. Identify department procedure to document employees ill during this time, including County and department policies regarding sick leave and other applicable policies.

[In this space, identify department processes applicable to this objective]

3. Identify chain of command during a health crisis. The chart below outlines a responsible person and alternate for this department.

[Assign primary chain of command and alternate chain of command during a health emergency or pandemic event. Also, identify a primary and alternate contact for day-to-day updates/correspondence on health related information within your department]

Health Emergency Command Group		
	<i>Responsible Person</i>	<i>Alternate</i>
Name		
Title		
Contact Info (Ph, Email)		
Name		
Title		
Contact Info (Ph, Email)		
<i>Department Contact for Health Related Information and Planning</i>		
Name		
Title		
Contact Info (Ph, Email)		

4. Activation of COOP during a health emergency (i.e. offsite or alternate worksite, laptops, etc).

[In this space, identify department processes applicable to this objective]

5. Reporting and monitoring of health incident.

[In this space, identify department processes applicable to this objective]

Preventative Measures and Tips

During any type of health emergency, preventative measures can be taken to mitigate the effects on the workforce. Such measures include:

- Encourage employees to develop family preparedness plans.
- Participate in and promote public health efforts within the department.
- Implement prevention and control actions recommended by your public health officials and providers.
- Identify and adopt department practices that encourage sick employees to stay home.
- Practice good health habits, including eating a balanced diet, exercising daily, and getting sufficient rest and take these common-sense steps to stop the spread of germs.
 - Wash hands frequently with soap and water.
 - Cover coughs and sneezes with tissues.
 - Stay away from others as much as possible if you are sick.
- Stay informed about pandemic influenza and be prepared to respond.
 - Consult www.pandemicflu.gov frequently for updates on national and international information on pandemic influenza.
 - Use national and local pandemic hotlines that will be established in the eventuality of a global influenza outbreak.
 - Listen to radio and television and read media stories about pandemic flu.

Personal protective equipment (PPE) may be utilized based on the type and severity of the health emergency and its use varies based on the setting of the employees, i.e., general office, hospital, health care provider setting, etc. Adhere to guidance and recommendations given by public health officials at the time of the health emergency. PPE items can include some or all of the items below:

- OSHA approved disposable facemasks, surgical masks, N95 respirators
- Gloves
- Alcohol based hand-sanitizer (individual units or sanitizer stations)
- Antibacterial surface wipes or sprays

Important Links and Resources

- U.S. Department of Health & Human Services: www.hhs.gov
- Pandemic Flu: www.flu.gov
- Centers for Disease Control and Prevention (CDC):
 - <http://www.cdc.gov/flu/> (seasonal flu)
- Florida Department of Health Department:
 - www.floridahealth.gov/
 - www.doh.state.fl.us/
 - www.MyFluSafety.com

ANNEX G: Disaster Assistance Employee (DAE)

[Department Name]

Please check the appropriate box and follow the instructions annotated with the option selected.

A. Department Essential Personnel* * Select this option if **all** personnel are Department essential, otherwise move on to section B.

These employees are required to report to their regular work assignment to assist with the department's role in the pre- and/or post-recovery efforts.

Is the Department's exempted approval memo/letter attached? Yes No

If 'No', please explain. _____

B. Emergency Operations Center Essential Personnel * Select this option if any personnel are EOC essential

B.1. Department's Disaster Assistance Employee (DAE) Liaison:

Name: _____

Position: _____

Contact*: _____ * must be 24 hour contact.

B.2. What is (are) your Department's Disaster Assignment(s)? Please check all applicable.

- Shuttering
- Mobile Assistance Teams
- Employee Wellness Teams
- Donation/Distribution Center
- Employee and Volunteer Staging Area
- Hurricane Evacuation Center Management/Support
- Disaster Assistance Centers
- Other(s): _____
- Points of Distribution
- DAE Call Center
- EOC Support
- E&EAP Call Center

ANNEX G: Disaster Assistance Employee (DAE)

DISASTER ASSISTANCE EMPLOYEES		
<ul style="list-style-type: none"> • The Incident Commander makes the call to activate any one or group of Departments and their respective Disaster assignments. <ul style="list-style-type: none"> • The Department Director, or designee will receive a call from Emergency Management advising them when their Department is activated. • It is the responsibility of the Department to coordinate and facilitate the assignments set-up, staffing, feeding and all other activities associated with the assignments. 		
Status	Disaster Assignment Role Checklist – Pre Disaster	Notes
Complete <input type="checkbox"/>	The Department has provided disaster preparedness information to all staff	Pending
Complete <input type="checkbox"/>	The Department has received its assignment	Pending
Complete <input type="checkbox"/>	All Department employees have current personal information on file.	Pending
Complete <input type="checkbox"/>	Bluebook registration is completed for all new Department hires.	Yes
Complete <input type="checkbox"/>	All DAEs have been advised of their respective assignments.	Pending
Complete <input type="checkbox"/>	All DAEs have been trained in their respective assignments.	Pending
Complete <input type="checkbox"/>	All DAEs are aware of appropriate attire for their respective assignments.	Pending
Complete <input type="checkbox"/>	The DAEs have been instructed on their responsibility of self-sufficiency (food and water) for the duration of their assignment or	Pending
Complete <input type="checkbox"/>	There is a plan in place to provide for feeding and hydration of DAE activated personnel.	
Complete <input type="checkbox"/>	The Department has a plan in place to assure that its Disaster Assignment responsibility is covered.	Pending
Complete <input type="checkbox"/>	There is a plan in place to provide for breaks and periods of rest.	Pending
Complete <input type="checkbox"/>	DAEs have been instructed on safety considerations and will take appropriate precautions.	Pending

ANNEX G: Disaster Assistance Employee (DAE)

Status	Disaster Assignment Role Checklist – Pre Disaster	Notes
Complete <input type="checkbox"/>	There is a plan in place to monitor and document DAE work hours and activities.	E-par, Time Tracking System
Complete <input type="checkbox"/>	The Department has a plan in place to communicate alerts and notifications to DAEs	Yes
Complete <input type="checkbox"/>	All Department DAE staff have completed ICS 100 and 700.	Pending
Status	Disaster Assignment Role Checklist – Activation	Notes
Complete <input type="checkbox"/>	Notification received, DAE program is activated for pre-event activities	
Complete <input type="checkbox"/>	Or Notification received, DAE program is activated for post-event activities	
Complete <input type="checkbox"/>	DAE Staff notified of activation	
Complete <input type="checkbox"/>	The appropriate personnel have checked up on any employee that did not report in or were unable to reach	
Complete <input type="checkbox"/>	DAE Staff have responded to notification	
Complete <input type="checkbox"/>	Department Disaster Assignment responsibility is fully covered	
Complete <input type="checkbox"/>	The Department maintains communication with its DAEs while they are serving in their assigned roles	
Complete <input type="checkbox"/>	The DAEs are reporting their time.	
Status	Disaster Assignment Role Checklist – Demobilization	Notes
Complete <input type="checkbox"/>	The Disaster Assignment has concluded	
Complete <input type="checkbox"/>	All documentation has been requested/received	
Complete <input type="checkbox"/>	DAEs that advised the Department they would be unable to report to their assignment have submitted leave slips	
Complete <input type="checkbox"/>	DAEs that were no-shows or not excused were given unexcused absences	
Complete <input type="checkbox"/>	An After Action Conference was held with DAEs to ascertain any concerns/issues that need to be addressed	

ANNEX G: Disaster Assistance Employee (DAE)

1. Detail how your employees are provided disaster preparedness information.
 - DAE employees are listed in the Hurricane Plan. They receive information via e-mail.
2. Detail your alerts and notification process in regards to activating the DAEs.
 - DAE employees will receive alert and notifications via e-mail and telephone.
3. Explain the Department's Disaster Assignment.
 - DAE employees are assigned to [insert EOC Essential Role ... i.e. Points of Distribution (PODS); Evacuation Center Management/Support; DAE Call Center; etc...]
4. What is your tracking process for assuring that all DAE personnel report to their assignment?
 - DAE personnel will be required to contact their supervisors daily to report that they are working at the [insert EOC Essential Role ... i.e. Points of Distribution (PODS); Evacuation Center Management/Support; DAE Call Center; etc...]
5. What procedures are in place to assure hydration and feeding of staff?
 - Staff will be advised to take plenty of water and snacks. This point will be reiterated during the training with OEM.
6. What procedures are in place to assure communication with staff?
 - Communication with staff will be via e-mail and telephone.
7. What procedures are in place to manage issues that arise, i.e. confrontations?
 - Department will follow Miami-Dade policy and procedures to address and manage these types of issues that arise.

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