



STATE OF ARIZONA

Continuity of Operation Plan

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State Of Arizona



Executive Management Template

FOR OFFICIAL USE ONLY

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Executive Management Plan TOC

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Approvals

This Continuity of Operations (COOP) Plan was prepared by the organization to develop, implement, and maintain a viable COOP capability. This COOP plan complies with applicable recommendations provided in Continuity Guidance Circulars 1 and 2 and applicable federal and state statutes. This COOP plan has been distributed internally within the organization and with external agencies that may be affected by its implementation. This plan supercedes any previous COOP plans.

This COOP Plan shall be reviewed and re-certified annually. The annual review shall include an updated risk assessment for the plan components: executive management plan, alternate facilities, essential records, and essential functions.

By their signatures below, the following organization officials certify that they approve this Continuity Plan and fully understand the continuity of business operations procedures that are to be followed in the event of an emergency that impacts the facilities and employees for which they are responsible

Signature: _____ Date: _____

Name/Title: _____

Signature: _____ Date: _____

Name/Title: _____

Signature: _____ Date: _____

Name/Title: _____

Signature: _____ Date: _____

Name/Title: _____

Executive Management Template

COOP Planner

The planner serves as task manager for plan components and procedure development. Also serves as a liaison for team m

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Auditor

Continuity plans are audited by the State Continuity of Operations Group to ensure that plans meet FEMA best practices. For more information contact the State Continuity of Operations Group.

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Report Description:

This report contains the purpose, proof of concept, intent of planning and other FEMA suggested narratives.

Intent of COOP Planning

The purpose of this Continuity of Operations Plan (COOP) is to describe how the organization will operate in the event that an incident threatens or incapacitates operations. In accordance with guidelines established by Continuity Guidance Circulars (CGC) 1 and 2, Federal Executive Branch Continuity of Operations (COOP) and the National Fire Protection Association (NFPA) 1600 Standard on Disaster/Emergency Management and Continuity of Business Programs, this document identifies lines of succession; provides for the maintenance or re-establishment of the control and direction of the organization, including relocation of key personnel, as necessary; for reconstitution of key staff positions with successor personnel; and for regeneration of full organization function(s).

Some of the information in this document is taken from the organizations Emergency Operations Plan (EOP) and the Arizona State Emergency Response and Recovery Plan. This document, which is applicable to all-hazard threats, ensures that the organization is prepared to provide critical services in an environment that is threatened, diminished, or incapacitated.

Continuity of Operations (COOP) planning are the internal efforts the organization takes to assure their ability to resume essential functions in the event of an incident that disrupts internal operations. COOP planning is an ongoing process that is driven by a recurring assessment of information systems, personnel, and mission critical needs. Operational interruptions may include routine business renovation or maintenance; mechanical failure of heating or other building systems; fire; inclement weather or other acts of nature; an outbreak of pandemic influenza; or a range of threatened or actual attacks. Other events that may interrupt departmental functions include failure of information technology (IT) systems and telecommunications due to malfunction or cyber attack.

To ensure Continuity of Operations the organization must respond quickly at all levels to all types of incidents that cause a disruption or threat resulting from human, technological, natural or other causes, and to ensure its ability to perform essential functions under all circumstances. To meet these objectives, the organization has established this COOP plan which sets forth a concept of operations, identifies essential functions, and outlines three potential phases of operation: 1) Activation and Relocation; 2) Alternate Facility Operations; and 3) Reconstitution. The plan incorporates the following key elements associated with COOP planning:

- Emergency concepts, actions, and procedures.
- Identification and prioritization of essential functions.
- Orders of succession to critical positions required in an emergency.
- Delegations of authority and pre-delegations of emergency authorities to key personnel.
- Emergency operations centers and alternate facilities.
- Interoperable communications.
- Protection of government resources, facilities and personnel.
- Safeguarding of essential records and databases.
- Testing, training and exercises.

Expected Outcome

The changing threat environment and the organizations experience with recent emergencies have shifted awareness toward the need to develop COOP capabilities enabling departments to continue essential functions across a broad spectrum of incidents. As recent events and preparedness exercises have demonstrated, government operations can be easily disrupted by a variety of events, both manmade and natural. Whether the disruption results from severe weather or from a blackout caused by a malfunction of the power grid, citizens throughout the state still expect government services to be available when they are needed. As an aid in continuing to provide essential services to citizens under emergency conditions, the organization has developed this COOP plan.

The objectives of this COOP plan include:

- Reducing loss of life and minimizing damage and losses;
 - Ensuring the continuous performance of the organizations essential functions/operations during an emergency;
 - Protecting essential facilities, equipment items, records, and other assets;
 - Reducing or mitigating disruptions to existing operations;
 - Achieving a timely and orderly recovery from an emergency and resuming full service to customers;
 - Identifying alternate operations locations in the event that primary operations facilities are non-functional;
 - Conducting essential operations from an alternate operating location within 12 hours of event onset for a period of up to 30 days
 - Establishing lines of succession and delegations of authority;
 - Identifying personnel needed to perform the organization's essential functions;
 - Identifying means of communication within the organization and with other agencies, jurisdictions, and the public;
 - Establishing requirements for regularly scheduled testing, training, and exercising of organization personnel, equipment, systems, processes and procedures used to support the organization during a COOP event;
 - Establishing requirements for development, maintenance, and annual review of the organization's COOP plan and COOP capabilities.
-

Scope

This document applies to a full range of circumstances, from a short-term, localized event to a long-enduring regional emergency that may impact multiple operating facilities and applies to natural disaster events as well as human-caused threats. The plan is designed to complement the organizations Emergency Operations Plan.

Applicability

The organization's leadership has reviewed and approved this plan for operational activities during emergency/disaster events. This plan is designed to effectively minimize system outages and down time(s) while providing the highest level of service possible until normal operations fully resume. This plan also is intended to facilitate the response and recovery process.

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Leadership Strategies

Decision Process

If a situation arises that adversely impacts or threatens the organizations ability to perform essential functions, the COOP plan may be activated by the organization head or his/her designee. The organization head will assess the incident to determine the appropriate course of action.

A decision by the organization head or his/her successor to implement the agency's COOP plan will, if circumstances permit, be coordinated with the organizations leadership team. In situations where immediate activation is called for, a decision to do so will be communicated by the organization head or his/her successor to the leadership team and the Emergency Relocation Group (ERG) simultaneously with notification of the agency's employees.

Orders of Succession

There may be instances when an individual who is designated as a leader is unable to fill their leadership role. Because the role is essential to the organization being able to complete its essential functions, a successor will need to assume that leadership role.

A successor will assume the duties of the leadership role when the usual leader is not able to be contacted by usual methods (e.g., telephone, cellular telephone, direct connect, etc.), and will relinquish leadership duties when the usual leader is contacted or until a permanent successor has been named by the, organization head, or other appropriate individual.

The organizations shall at minimum, list orders of succession to the following:

- Organization Head
- Key agency leadership positions
- Employees responsible for maintaining vital systems and records shall be considered key department positions for purposes of succession planning.
- Critical supervisory personnel who are assigned roles in the Emergency Relocation Group
- Emergency Relocation Group positions

The order of succession applies in the event that any of those listed are unable to be reached or are otherwise incapacitated.

Delegations of Authority

Designated critical employees and their successors, upon appointment to an essential position, shall have the full authority and responsibility to carry out their essential functions unless otherwise indicated in this plan.

"Succession," in this context, pertains only to the activation of this COOP plan and the performance of the essential functions listed herein for the duration of COOP plan activation, or until relieved by proper authority.

The authorities delegated to each essential position are listed, by position, in Worksheet 4B, Delegations of Authority.

Activation Criteria & Procedures**Alert, Notification and Implementation Process**

In the event that the department's usual operating facilities are rendered inoperable and are expected to remain as such for a period of 12 hours or more, the organization head may decide to implement the agency's COOP plan. If this occurs, operations will be relocated to the location(s) listed in the Alternate Facilities Annex, so that essential functions can be performed. In circumstances where warning is provided in advance of a triggering event, or during off-duty hours, a decision to implement the COOP plan will be communicated by the organization head to designated critical personnel. A call-down list is included in the Executive Management Plan. The organization head will notify the Emergency Relocation Group (ERG) manager that the COOP plan has been activated and relocation or other COOP operations are required. The agency's designated Emergency Relocation Group will be deployed to the alternate facility to make it ready for use. During the time between COOP plan activation and when the alternate facility is ready to support essential operations, critical personnel will work from the usual operating facility if it is able to support limited operations.

If the usual facility is not accessible, the organization head will instruct employees how to proceed, for example, if they should work from home until the alternate facility is ready.

When the Emergency Relocation Group informs the Director that the alternate facility is ready to support essential operations, all critical personnel will report to the alternate facility. Employees reporting to the alternate facility will take their "go kits" containing both work and personal items and any essential records/databases for which they are responsible and prepare to become fully operational within 12 hours.

Employees who are not required to relocate to the alternate facility will be instructed by the organization head if/where to report and, if their responsibilities will be different from their normal work, what their function during COOP plan activation will be in coordination with the organization's Public Information Office. The organization has established an information web page at <http://www.azain.gov/azain/default.aspx>. The information web page will provide department employees with information about the emergency.

In circumstances where there is no warning during duty hours, designated critical personnel will be directed by the Organization head, the agency Director, or their successors to proceed with their "go kits" to the alternate location and prepare to become fully operational within 12 hours of the onset of the emergency. The Emergency Relocation Group will be notified of the COOP plan activation and will be dispatched immediately to the alternate facility to begin preparations for use. The organization head will notify the manager at the alternate facility (if applicable) of the immediate need to relocate. Employees who are not required to relocate to the alternate facility will be instructed by the organization head if/where to report and, if their responsibilities will be different from their normal work, what their function during COOP plan activation will be during the emergency. In the case of pandemic influenza, different activation phases may be necessary based on pandemic alert levels, proximity of the outbreak to the agency's offices/facilities, and recurring outbreaks. If the COOP plan is implemented due to pandemic influenza, the organization head will notify employees as to which essential functions and services can be conducted from remote locations through telecommuting. Refer to the Pandemic Annex for additional information regarding a pandemic related COOP activation.

Employees who are not ill will be instructed if/where when to report and what responsibilities they will be asked to assume given the circumstances of the outbreak. The organization head will also determine whether additional logistical support, services and infrastructure systems are needed and prioritize/determine accessible facilities/buildings (as an alternate to relocating to a remote facility).

The organization will implement appropriate social distancing policies, and consider the impact of local quarantines on open/accessible facilities and operating plans.

Interoperable Communications

Communications is an integral part of COOP activation. Selecting appropriate and compatible COOP communications equipment is the responsibility of the organization head. The overall capacity should address concerns such as:

Initial operational readiness within twelve hours (fully operational within 48 hours) and sustainable for a period

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up to 30 days

The following criteria are necessary to support interoperable communication functions during COOP activation:

- Secure communications links
- Interoperability to include intra- and inter-departmental COOP communications
- Capacity to accommodate the organizations communications needs to support essential functions

COOP minimum requirements

- Ability to communicate with customers
- Ability to communicate with organization personnel
- Variable and redundant capability
- Ability to enable employees to perform essential functions while tele-working

Under most conditions that may require the organization to activate the COOP plan, communications will be primarily by standard, established communication methods such as telephone land lines, two-way radios, cellular telephones, e-mail, Internet, and existing radio systems. However, the organization recognizes that as a result of some disasters, standard communication methods may not be operable.

Plan Implementation

In the event of a disruption of essential functions, the organization will rapidly organize to assess impacts on agency operations, and determine needed actions. COOP operations are characterized by three distinct phases: activation and relocation, alternate facility operations, and reconstitution.

This COOP plan provides for the continuation of the essential functions of the organization and traditionally is based on the assumption that access is denied to facilities where business is normally conducted. A fire or HAZMAT incident may require evacuation of a building with little or no advance warning using existing occupant emergency plans, but for a short time.

There is a distinction between these situations and one in which access may not be possible for an extended period. In the latter case, there will be a need for the deliberate, pre-planned relocation of selected key personnel to an alternate location from which minimum essential functions can be performed, beginning no later than 12 hours after activation, while an assessment of longer-term alternatives is undertaken. The alternate location will support the full complement of essential personnel assigned to it, including communications, information technology support, supplies and materials, and a secure environment, for up to 30 days.

Pandemic influenza planning necessitates different assumptions. Although an influenza pandemic will not directly affect the physical infrastructure on an agency, it could nevertheless disrupt operations since as much as 40 percent of the workforce might be absent due to illness. In addition, the agency must plan to conduct essential operations beyond the 30-day period used for other COOP planning.

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Maintenance Requirements

This Continuity Plan is a living document. As problems emerge, situations change, gaps become apparent and requirements are altered—the plan must be adapted to remain useful and up-to-date. Accordingly, all plans and procedures (responsibility, steps and appendices) must be revised and updated permanently after changes are made. This process involves the development of a remedial action plan and a complete review and revision of the plan as outlined below.

A. Review and Revision

The organization has established a process for review and revision of the plan. The review will be a recurring activity, and accomplished on at least an annual basis. As appropriate, significant issues and problems identified through a remedial action process and/or the annual review will provide the information needed to allow the planning team to make necessary revisions to the plan. It will be tested annually, or at a greater frequency as determined by the Division Administrator and/or Bureau Chief. Its contents will be reviewed on an annual basis to ensure that this action plan identifies specific requirements and activities as determined by the key individuals in the organization.

B. Corrective Action Process

A corrective action process will help the planning team identify, illuminate and correct weaknesses with the plan. A corrective action process captures information from exercises, post-disaster critiques, self-assessments, audits, administrative reviews, and the like, which may indicate that deficiencies exist. It then brings members of the planning team together to discuss the problem, and to consider and assign responsibility for remedies. Corrective actions may involve revising planning assumptions and operational concepts, changing organizational tasks, or modifying organizational Standard Operating Procedures (SOPs). They also may involve training on performance of tasks assigned by the ERG to the division's personnel. The final component of a corrective action process is a means to track and follow up the assigned actions.

C. Updating Plans and Procedures

Accordingly, all plans and procedures (responsibilities, steps, rosters, appendices, etc.) must be revised and updated permanently after any changes are made. At a minimum, this Plan will be reviewed and updated as follows:

- i. Post-exercise
- ii. Post-incident
- iii. Annually

D. COOP Review Team

The COOP Review Team will perform this review at least annually to maintain accurate and current information in the plan. The COOP Review Team is tasked to determine whether the Plan meets all factors identified in applicable guidance and regulations. Other responsibilities of the COOP Plan Review Team include:

- i. Maintaining overall plan currency and readiness to include procedures, equipment, systems, personnel and rosters;
- ii. Addressing and resolving COOP Plan policy issues;
- iii. Advising the Administrator of COOP related matters;
- iv. Coordinating among related plans;
- v. Conducting training, testing and exercises; and
- vi. Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year.

The activities of the COOP Review Team are coordinated by the COOP Coordinator. In addition to overseeing the activities of the COOP Review team, the COOP Coordinator is also responsible for:

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- a. Annual review of this COOP Plan at a minimum;
 - b. Ensuring all staff maintain awareness of the COOP Plan through periodic training, testing and exercises.
-

Testing Requirements

All agency staff must be educated on their role in Continuity of Operations (COOP) Plan execution. Exercises that simulate disruptions and practice COOP Plan activation must be conducted that include the testing of backup systems and processes.

A. Education and Training Requirements

To ensure that all personnel are familiar with and prepared for implementation of the COOP plan, employees will receive training on COOP plan implementation as part of new employee orientation and, at a minimum, annually or as significant changes are made to department COOP plans and procedures.

B. Frequency of Training and Exercise

To ensure that all personnel are familiar with and prepared for COOP operations, the following events should be conducted on a monthly, quarterly, annual, or other timeframes based upon department capabilities and needs.

C. Exercise Evaluation Methodology

i. Exercises are evaluated simulations and activities and provide a process for continuous improvement. Exercise evaluation is the systematic examination of the effectiveness of the program.

ii. Exercise Evaluation refers to the act of reviewing or observing and recording exercise activity or conduct, applying the behavior or activity against exercise objectives and noting strengths, weaknesses, deficiencies, or other observations. Exercise evaluations will address each exercise objective to answer the following questions:

- a. Was the objective met?
- b. If yes, what were the results?
- c. If no, what changes are necessary to achieve the objective?

iii. Determining how the exercise objectives were met allows evaluators to answer important questions such as:

- a. Are parts of the plan in need of revision?
- b. Is current equipment adequate?
- c. Is additional training required?
- d. Are additional resources necessary?
- e. Are staffing levels adequate?
- f. Is the communication system vulnerable to overload?
- g. How effectively did independent agencies cooperate to resolve the problem?
- h. Was the alternate work facility adequate?
- i. Did the relocation plan work?
- j. Were timetables met?
- k. Were estimates for required materials and supplies accurate?

D. After-Action-Reviews

The production of an After-Action Report (AAR) is vital to the cyclical process of improvements to the COOP Plan. The AAR documents assess events and functionality of the plan while capturing the findings identified by exercise evaluators, participants and observers. From the information learned in the AAR, a Corrective Action Plan (CAP) must be developed that identifies any improvements needed to the plan, what individual is responsible for those improvements and a date when those improvements will be made. An AAR and CAP will be completed for each table-top, functional and full-scale exercise conducted; as well as, real-world events causing the activation of the COOP Plan.

Executive Management Call List

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Report Description:

This is the notification hierarchy or call tree that will be executed once the plan is activated showing calling responsibilities and contact information

No call list ~~has~~ ^{person} been created for the specified plan(s).

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Report Description:

This report shows how people are organized to execute their plan (e.g. Teams, Positions on Teams, and who's assigned to fill each position, including employees, vendor and customer representatives.)

Team Name:

Description:

Position Name & Assignments:

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Report Description:

This report lists tasks assigned to plans with subtasks. The task will be listed even if it has no subtasks.

Process - Command and Control **Assume Command**

Notify all responders and/or superiors who is in command (take responsibility for managing the incident)

 Notify all responders and/or superiors who is in command

Ensure all personnel are aware of who is in command.

 Make initial duty assignments as needed

Some incidents may require immediate action be taken before continuing the process. This task may take place simultaneously with other tasks.

 Establish necessary communications links

Refer to internal and external communications plans for details

 Establish accountability for all personnel

Take a head count and ensure the status of all personnel and visitors is accounted for.

 Maintain accountability for all personnel

Maintain a record of all personnel activity and locations. Document the time personnel are assigned, location assigned and time released.

 Assess the situation

Assess the situation to determine personnel and resource need and to identify goals and objective of the COOP response.

 Gather all relevant information about the incident

Gather as much relevant information about the incident as possible to determine the situation.

 Evaluate the information

Evaluate all information regarding the incident to determine the situation and begin formulating a plan.

 Begin formulating a plan of action to address the incident

This is an ongoing process that should be considered continually.

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Process - Command and Control

Determine resource needs

What resources are needed to address the incident and resume operations.

Determine if the situation requires activating the COOP plan

Does the scope or magnitude of the incident justify COOP activation.

Reassess the situation on regular basis or as circumstances require

Conduct regular reassessments throughout the incident and whenever the situation changes significantly.

Divisional leadership

Establish communications with divisional level leadership personnel that are affected by the incident.

Process - External Communication

Establish external communication links.

Establish communication links with external agencies, organizations and the public as necessary to facilitate an effective COOP response.

Other government entities

Assign personnel to establish communications with other government organizations.

Private Sector entities

Assign personnel to establish communications with Private Sector organizations.

Media

Assign personnel to establish communications with the media. Consider activating a Joint Information System (JIS) or Joint Information Center (JIC) when multiple organizations are involved in the incident.

The Public

Assign personnel to establish communications with the public and keep them informed.

Modes of communication

Establish effective modes of communication that meet the needs of the incident.

Land line (analog)

Primary mode of communication

Land line (VOIP)

Primary mode of communication

Cell phone

Alternate mode of communication

Two way radio

Alternate mode of communication

Runners

Alternate mode of communication

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Process - External Communication

Post information on organizations web page

Post relevant information regarding the incident on the organizations web page as appropriate.

Post information on the organizations intranet.

Post relevant information regarding the incident on the organizations intranet as appropriate.

Post information on social networking sites

Post relevant information regarding the incident on the social networking sites as appropriate.

Establish Joint Information System (JIS)

Establish a JIS during a multi agency response to provide a coordinated release of information to the public and the media.

Establish a Joint Information Center (JIC)

Establish a JIC during a multi agency response to provide a coordinated release of information to the public and the media.

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Process - Internal Communication

Establish internal communications links.

Establish communication links with internal personnel that are critical to the resumption of affected Essential Functions.

Executive Management Team

Establish communication with the members of the Executive Management Team that are needed to establish command and control of the incident based in the incident needs.

Divisional leadership

Establish communication with the members of Divisional Leadership that are needed to resume Essential Functions based in the incident needs.

Emergency Relocation Group (ERG)

Establish communication with the Emergency Relocation Groups that are needed to resume Essential Functions based in the incident needs.

Functional Teams

Establish communication with the members of Functional Teams that are needed resume Essential Functions based in the incident needs. Communication with Functional Teams will generally flow through the chain of command.

Non-Critical Personnel

Establish communication with non-critical personnel. Non-Critical personnel are individuals that are not needed resume Essential Functions based in the incident needs.

Modes of communication

Establish effective modes of communication that meet the needs of the incident.

Land line (analog)

Primary mode of communication

Land line (VOIP)

Primary mode of communication

Cell phone

Alternate mode of communication

Two way radio

Alternate mode of communication

Process - Internal Communication

Runners

Alternate mode of communication

Post information on organizations web page

Post relevant information regarding the incident on the organizations web page as appropriate.

Post information on the organizations intranet.

Post relevant information regarding the incident on the organizations intranet as appropriate.

Post information on social networking sites

Post relevant information regarding the incident on the social networking sites as appropriate.

Provide direction to subordinate personnel

Provide leadership and direction to subordinate personnel.

Receive situation assessment from subordinate personnel

Gather information from field personnel to assess situation.

Provide strategic situation assessment to subordinate personnel

Provide the strategic situation assessment to field personnel.

Provide the goals and objectives of the COOP response

Communicate the incident goals and objectives to field personnel.

Assess requests for resources to support the COOP response

Assess requests for resources to support the COOP response. Determine resource availability and prioritize resource allocation.

Allocate resources to subordinate units as needed

Allocate resources to subordinate units based on the priorities established in the situation assessment.

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Report Description:

This report lists all the characteristics of every Location record within the selected plan(s), organized by its geography.

Address

Location Seq: PRIMARY

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There are no locations assigned to Core Components

Devolution

In the event that the leadership of the organization is incapacitated to a degree that would compromise the performance of the department's essential functions under this COOP plan. The successor organization that is responsible for the performance of these functions will be identified in the planning process, prior to COOP activation.

Such devolution may occur based upon a unilateral determination by the Organization head or his/her successor or on a recommendation by the organizations senior surviving official of. In the event that devolution is deemed necessary, the Emergency Response Group, the remaining senior official of the devolving department/division and his/her designees would assist the successor department/division to prepare to assume control of the devolving organization's essential functions.

The resources necessary for the department/division assuming responsibility to carry out the devolving organization's essential functions are the same as those identified in the functional plan annexes of this COOP plan.

Reconstitution

When the organization leadership determines that the emergency is no longer a threat to the Department, they will begin to plan for a return to normal operations. The Emergency Relocation Group will return to the primary facility to ensure that mission critical systems are operational and the facility is ready for normal operations to resume.

The organization leadership will work with ERG Manager to notify employees of the end of the emergency and the plan to return to normal operations. Employees will be notified using communications protocols described in the Executive Management Plan.

After the agency has resumed normal operations, the organization leadership will deactivate the COOP plan. The organization leadership will ensure that an After-Action Report and Corrective Action Plan are completed to evaluate the effectiveness of COOP and emergency plans and procedures in-place.

Arizona Continuity of Operations Pandemic Annex

Purpose

Arizona Continuity of Operations Pandemic Annex is a component of an Arizona state agency, board, or commission's All Hazards Continuity of Operations (COOP) Plan. This annex is designed to address the unique issues that are specific to pandemic preparedness and response.

The planning considerations and suggested COOP activities in this annex have been developed to assist state agencies in ensuring the execution of essential functions in the event that government agency operations are threatened. In the case of an influenza pandemic, the main threat to operations would be the possibility of serious reductions in the availability of staff that are available for work and/or their reduced capacity to operate efficiently.

Objectives

The main objective of this annex is to ensure the continuous performance of the agency's essential functions during an influenza pandemic and to provide for the safety and well being of the employees.

Specific objectives of this plan include:

- 1) Reduce or mitigate disruptions to agency operations by addressing possible staff reductions during all pandemic phases;
- 2) Protect the safety and productivity of working staff;
- 3) Address behavioral health issues that may affect the organization;
- 4) Plan for potentially critical losses of staff through scheduling, identification of alternate resources, and temporary business reduction efforts;
- 5) Reduce loss of life and minimize damage and losses; and
- 6) Achieve a timely and orderly recovery from an emergency and resumption of full service to customers.

Planning Assumptions

The following are planning assumptions for addressing Continuity of Operations issues for an influenza pandemic:

- It is expected that an influenza pandemic would cause widespread morbidity and mortality and might affect 40% of your workforce or more over a period of many months, depending on incidence of disease within a community. Staff reductions may occur due to staff illness or death or due to family responsibilities related to the emergency. Problems may arise from illness in the family, closure of schools, lack of caregiver support, or similar instances that prevent employees from coming to work. Such situations could decrease existing staff to critically low levels and threaten the capacity of the agency to continue operations.
- The effect of an influenza pandemic on individual communities may be at least two to three waves over several months. Therefore, staff reductions may be temporary or long-term.

- An outbreak of an infectious disease, such as an influenza pandemic, terrorist attack, outbreak of food-borne illness, or natural or technological disaster may cause serious reductions in the availability of staff for work and/or their capacity to operate efficiently.
- Remaining workers may be psychologically affected by disease, family illness, and concerns about economic loss or fear of illness and may require behavioral health assistance.
- An emergency condition may require the reassignment of critical functions to other personnel or worksite relocations.
- External vendors will continue to provide services according to existing contracts.
- Employees whose employment status is impacted by a pandemic will need information regarding services specific to the needs arising from loss of employment.
- Public safety agencies are likely to face increased demands while operating with a reduced workforce due the pandemic impact on agency employees and families.

Pandemic Preparedness, Response and Recovery Checklist

The following checklists can assist you in preparing for and responding to an influenza pandemic. The checklists are a guide and should be modified to meet the needs of your agency, board, or commission. The preparedness and response activities have been grouped under the World Health Organization’s (WHO) six-phased approach; these phases are applicable globally and provide a framework to aid countries in pandemic influenza preparedness and response planning.

The COOP Activities described in the following checklist, aim to maintain a viable workforce before, during and after an influenza pandemic.

2009 WHO Phases	COOP Activities
Strengthen pandemic preparation and response activities.	
<u>Phases 1-3:</u> Limited Human Spread	<ul style="list-style-type: none"> • Identify a pandemic coordinator and/or team with defined roles and responsibilities for preparedness and response planning. The coordinator/team should be familiar with the Arizona Pandemic Influenza Operational Plan located at www.azdhs.gov/pandemicflu. • Review your Agency COOP plan and keep contacts updated. • Familiarize your agency with www.azdhs.gov and www.yes.az.gov for reliable pandemic preparedness information. • Encourage the annual influenza vaccination for all agency employees. • Communicate to all employees the policies and guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for sick-leave absences unique to a pandemic, including when a previously ill

employee can return to work.

- Communicate to all employees the guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for flexible work site (e.g., telecommuting).
- Communicate to all employees the guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for preventing influenza spread at the work site (e.g., promoting respiratory hygiene/cough etiquette, and prompt exclusion of people with influenza symptoms).
- Communicate to all employees the guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for employees who have been exposed to pandemic influenza, are suspected to be ill, or become ill at the work site.
- Enhance communications and information technology infrastructures as needed to support employee telecommuting and remote customer access. These infrastructures should be compatible with your agency's requirement to maintain redundant communications systems as part of business continuity plans.
- Develop workforce resilience programs.
- Ensure contractors and vendors have contingency plans in place for pandemic influenza, including high levels of absenteeism and maintaining service levels.
- Assess demands in services for agency, board, or commission essential functions.
- Test and exercise pandemic influenza and COOP plans. Revise as appropriate.

Focus on containment activities.

Phase 4:
Sustained
Human-to
Human Spread

- Re-familiarize and communicate to all employees the policies and guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for sick-leave absences unique to a pandemic, including when a previously ill employee can return to work.
- Begin implementing the guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for flexible work site (e.g., telecommuting).
- Begin implementing the guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for preventing influenza spread at the work site (e.g., promoting respiratory hygiene/cough etiquette, and prompt exclusion of people with influenza symptoms).
- Begin implementing the guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for employees who have been exposed to pandemic influenza, are suspected to be ill, or become ill at the work site.
- Disseminate materials covering pandemic fundamentals (e.g., signs and symptoms of influenza, modes of transportation), personal and family protection and response strategies (e.g., hand hygiene,

coughing/sneezing etiquette, contingency plans).

- Re-familiarize and disseminate information to employees about the agency's pandemic preparedness and response plan.
- Depending on the severity of the pandemic, implement guidelines to modify the frequency and type of face-to-face contact (e.g., handshaking, seating in meetings, office layout, shared workstations) among employees and between employees and customers.
- Provide sufficient and accessible infection control supplies (e.g., hand hygiene products, tissues, and receptacles for disposal) in all business locations, now and during a pandemic.

Focus on response activities.

Phase 5-6:
Widespread
Human Infection

- Disseminate materials covering pandemic fundamentals (e.g., signs and symptoms of influenza, modes of transportation), personal and family protection and response strategies (e.g., hand hygiene, coughing/sneezing etiquette, contingency plans).
- Anticipate employee fear and anxiety, rumors, and misinformation and plan communications accordingly.
- Disseminate information to employees about the agency's pandemic preparedness and response plan.
- Provide information for the at-home care of ill employees and family members, when necessary.
- Depending on the severity of the pandemic, implement guidelines to modify the frequency and type of face-to-face contact (e.g., handshaking, seating in meetings, office layout, shared workstations) among employees and between employees and customers.
- Forecast and allow for employee absences during a pandemic due to factors such as personal illness, family member illness, community containment measures and quarantines, school and/or business closures and public transportation closures.
- Promote maximum use of telecommuting and other forms of business that allow employees to work from home.
- Communicate to employees the guidelines outlined in the State of Arizona Pandemic Influenza Planning Guide for restricting travel based on ADHS and CDC recommendations.
- Provide sufficient and accessible infection control supplies (e.g., hand hygiene products, tissues, and receptacles for disposal) in all business locations, now and during a pandemic.

Address health and social impacts and preparation for future waves.

Post-Peak:

Possibility of recurrent events

- Ensure hygiene supplies are re-stocked and available for possible future waves.
- Review and revise, as necessary, pandemic influenza and COOP plans.
- Communicate to employees the on-going need for vigilance in disease-prevention efforts in the workplace (e.g., hand hygiene and coughing/sneezing etiquette)
- Issue guidelines for employee return-to-work policies.

Restoration of normal health and social functions and addressing long-term impacts.

Post-

Pandemic:

Disease activity at seasonal levels

- Review lessons learned and revise pandemic influenza and COOP plans, as necessary.
- As needed, provide psychosocial services to facilitate individual recovery.

Pandemic Influenza Planning Resources

Below you will find resources that are available to assist in your pandemic preparedness efforts:

- **Pandemic Influenza Planning Guide for State of Arizona Agencies**
http://www.hr.az.gov/State_Employee/PDF/News_PIGv1.pdf
- **Arizona Department of Health Services – Pandemic Flu Information**
<http://www.azdhs.gov/pandemicflu/index.htm>
- **Maricopa County Department of Public Health Seasonal and Pandemic Flu**
http://www.maricopa.gov/Public_Health/HotTopics/Flu/default.aspx
- **Pima County Health Department H1N1 Influenza Information and Resources**
http://www.pimahealth.org/disease/h1n1_influenza.asp
- **The Federal Governments Pandemic Flu Information**
<http://www.flu.gov/>
- **Centers for Disease Control**
 - <http://www.cdc.gov/h1n1flu/>
 - <http://communitydispatch.com/cgi-bin/artman/exec/view.cgi/17/2684>
- **Center for Infectious Disease Research & Policy (CIDRAP)**
<http://www.pandemicpractices.org/practices/article.do;jsessionid=CDD074EEE3B284ED92F9E4A043E77456?page=home>

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Report Description:

This report shows details about each document within the selected plan(s).