



# STATE CONTINUITY IMPLEMENTATION PLAN

Continuity Policy Coordination Committee

December 2009

## FORWARD FROM THE STATE CONTINUITY COORDINATOR

Oklahoma's history is rich with examples of overcoming adversity. From the Dust Bowl to the 2007 ice storm, from the worst domestic terrorist attack on American soil to those emergencies we face day in and day out – Oklahomans are well-versed in disaster response and resiliency. We continually face new and different challenges when it comes to maintaining our way of life. In our state, continuity planning is more than just a good idea; it's imperative. Oklahomans know all too well that it's not if... but when a disaster will affect them or their community. Because of this mindset, a standard has been set for the way Oklahomans handle adversity. This "Oklahoma Standard" has become somewhat of a mantra for those charged with public safety in the state and it is the underlying force behind all that we do to protect the lives and well-being of Oklahomans.

In continuing the Oklahoma Standard, Governor Brad Henry directed the creation of the State Continuity Implementation Plan and the State Continuity Policy Coordination Committee to ensure that the functions of our society remain intact when the unthinkable happens. This group was tasked with the development and implementation of state continuity policies that will enhance the credibility of our security posture and enable a more rapid, effective and coordinated response to and recovery from catastrophic emergencies. Through the support, dedication and commitment of the Committee, we have worked this past year to help to plan to ensure Oklahoma government can remain "open for business" during any widespread or localized disaster.

I would like to thank each member of the Committee for their time and input into this plan. Each member has a vested interest not only in the people they serve but the future of our state. Their dedication to this project is a testament that the Oklahoma Standard continues to be a benchmark we strive to achieve.

Kerry Pettingill  
Director, Oklahoma Office of Homeland Security

## **State Essential Functions (SEF)**

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1. Ensuring the continued functioning of our state government under the Oklahoma Constitution, including the functioning of the three separate branches of government;
2. Providing leadership visible to the State and the Nation and maintaining the trust and confidence of Oklahoma citizens;
3. Defending the Constitution of Oklahoma against all enemies, foreign and domestic, and preventing or interdicting attacks against Oklahoma or its people, property, or interests;
4. Maintaining and fostering effective relationships with federal, state, local, and tribal governments;
5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against Oklahoma or its people, property, or interests;
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or natural disaster;
7. Protecting and stabilizing Oklahoma's economy and ensuring public confidence in its financial systems; and
8. Providing for critical State Government services that address the health, safety, and welfare needs of Oklahomans.

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## EXECUTIVE SUMMARY

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On May 4, 2007, the President of the United States issued the *National Continuity Policy* in National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20), which sets forth a new vision to ensure the continuity of our government:

“It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.”

On March 9, 2009, the Governor of Oklahoma issued an Executive Order appointing the Oklahoma Homeland Security Director as the State Continuity Coordinator and establishing the Governor’s Continuity Policy Coordination Committee.

“The purpose of the Committee shall be the development of a State Continuity Implementation Plan, which shall include prioritized goals and objectives, a concept of operations, establish a process for determining state essential functions and primary mission essential functions, performance metrics by which to measure continuity readiness, procedures for ensuring accountability, procedures for continuity and incident management activities, and clear direction to the executive department and agency continuity coordinators, as well as guidance to promote interoperability of State Government continuity programs and procedures with State, local, and tribal governments and private sector owners and operators of critical infrastructure as appropriate.”

In order to implement a *State Continuity Plan*, government and private sector leaders should understand (1) the purpose, importance, and key components of our continuity program; (2) the importance of our key partners and the necessity to identify and ensure the continued execution of our State’s Essential Functions; (3) the procedures to obtain metrics by which to measure our State’s continuity capability and readiness; and (4) the coordination, communication, and integration among the three branches of the State Government, among all levels of government, and between government entities and the private sector.

This *State Continuity Implementation Plan* serves as an educational primer for those unfamiliar with continuity. While each chapter can be read independently for readers interested in a particular component of continuity, the entire *Plan* represents a comprehensive source for current continuity resources and direction. Continuity planning is simply the good business practice of ensuring the execution of essential functions through all circumstances, and it is a fundamental responsibility of public and private entities responsible to their stakeholders. Continuity planning for execution of State Essential Functions must be integrated into daily operations, functions, plans, and mission areas.

Therefore this *Plan* directs that continuity planning occur simultaneously with the development of State department and agency continuity of operations programs. This means that organizations must incorporate redundancy and resiliency as a means *and* an end. This *Plan* provides the guidance and direction necessary to achieve that result and identifies how State Government will utilize thorough preparation and a continuous Continuity Program Management Cycle to analyze and execute programs, policies, and procedures to ensure continuity.

## Chapter 1 – Background and Overview

In order to understand the new *Plan*, a continuity foundation must be laid that describes the purpose of State Government continuity programs and articulates the Governor’s direction and the citizens’ expectations that the government reorient itself and utilize an integrated, overlapping state continuity concept. This new continuity vision will significantly enhance our preparedness and ability to ensure the preservation of government and the continuation of essential functions. This chapter articulates goals and objectives and a continuity concept of operations to fulfill the Governor’s vision. The continuous performance of essential functions must be supported with the right people, the right resources, and the right planning. An organization’s continuity capability—its ability to perform its essential functions continuously—rests upon key components or pillars built from the foundation of continuity planning and continuity program management. Upon this foundation four key continuity pillars must be built that represent the following:

- Leadership;
- Staff;
- Facilities; and
- Communications and Technology.

All of those elements are important during normal operating status and become critical during times of crisis. Because an organization’s resiliency is directly related to its continuity capability, all organizations can improve their capability by developing a continuity concept of operations, which is further described in the chapter.

## Chapter 2 – State Priorities

The goal of continuity is the continuation of State Essential Functions (SEFs), which are the critical responsibilities of the State Government to lead and sustain the State. The SEFs serve as the primary focus of State Government leadership during and in the aftermath of an emergency. In order to meet that goal, the objective for departments and agencies is to identify their respective State Mission Essential Functions (SMEFs) and State Primary Mission Essential Functions (SPMEFs) and ensure that those functions can be continued. The State Government’s ability to successfully execute its SEFs at all times, and especially during a crisis, is not an independent capability. The State Government relies upon key partners at all levels of government and in the private sector.

This *Plan* details a process for departments and agencies to identify their SMEFs and SPMEFs and ensure that they can be continued throughout, or resumed rapidly after, a disruption of normal activities. It further defines the roles, functions, and action items of the State’s senior continuity officials, including the following:

- The Continuity Policy Coordination Committee (CPCC) is responsible for coordinating, without exercising directive authority, the development and implementation of continuity *policy* for departments and agencies;
- The State Continuity Coordinator (SCC) serves as the Governor’s lead agent for coordinating continuity *plans, operations* and *activities*; and
- Continuity Coordinators at Tier 1 and Tier 2 departments and agencies are senior accountable officials responsible to work with their department or agency to ensure effectiveness and survivability of the organization’s continuity capability.

### **Chapter 3 – Continuity Readiness Procedures and Metrics**

The government’s ability to execute all of its continuity programs depends on a standardized but flexible set of operating procedures, resources to meet requirements, and performance measures to assess capabilities, recommend changes, and make improvements. This chapter articulates continuity readiness procedures and provides continuity metrics and requirements for departments and agencies to adopt. Some specific requirements include the following:

- A standardized Continuity Program Management Cycle to ensure consistency across continuity plans, establish consistent performance metrics, prioritize implementation plans, promulgate best practices, and facilitate consistent cross-agency continuity evaluations;
- Establishing a minimum set of criteria, planning elements and schedules per the CPCC;
- A reporting requirement that department and agency heads certify their continuity capability to the SCC;
- A requirement that funding requests for continuity programs based on continuity requirements be included and prioritized appropriately within agency budget requests submitted to the Office of State Finance (OSF);
- Regular assessments of continuity capabilities by CPCC, which will be submitted to the SCC;
- Monitoring by the CPCC and OSF of the progress in the execution of this *Plan* and reconciliation of prioritized funding requests with performance data and assessments.

### **Chapter 4 – Coordination, Communication, and Integration**

The continuation of our constitutional form of government, the State Essential Functions, and support to the public in a catastrophic emergency are critically dependent on the effective functioning of all three branches of the State Government (executive, judicial, and legislative); the Federal, State, local, and tribal government structures; and key private sector entities. The identification of government and key private sector roles and the integration of their capabilities are vital to the State Government’s overall continuity capability. This chapter discusses the coordination, communication, and integration necessary across all levels of government and with private sector critical infrastructure owners and operators. The chapter contains the following three sections addressing coordination, communication, and integration:

- Among the three branches of the State Government;
- Among Federal, State, local, and tribal governments; and
- Between private sector critical infrastructure owners and operators and the government.

The chapter recognizes the following key elements of interoperability:

- A cooperative effort among the legislative, executive, and judicial branches of the State Government is essential to preserve the constitutional framework under which the State is governed;
- By continuing the performance of essential functions through a catastrophic emergency, the State, local, and tribal governments support the ability of the State Government to perform SEFs, continue functioning within its constitutional form of government, and ensure that essential services are provided to the State’s citizens; and
- Private Sector Critical Infrastructure Owners and Operators have a unique and invaluable role in ensuring the performance of essential functions during a catastrophic emergency.

Because the integration and coordination discussed in Chapter 4 is so vital, the *Plan* directs State departments and agencies to assist and coordinate with these key partners where appropriate. Additionally, the chapter explains how the Governor’s continuity vision is made relevant to key partners and suggests implementation measures that should be taken to ensure that services are continued, law and order is maintained, and the principles of our Constitution survive.

## **Appendices**

Included with the *Plan* are eight appended documents that provide additional reference material, timelines for implementation, and other information that will help continuity planners develop department and agency continuity plans.

# State Continuity Implementation Plan

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## Overarching Goals:

- (1) To educate readers on the *State Continuity Plan* and the basic concepts of our continuity capability to ensure the preservation of our form of government under Oklahoma's Constitution and statutes and the continuing performance of State Essential Functions under all conditions;
- (2) To develop a comprehensive list of assignments for State Government to assure integration and accountability; and
- (3) To provide a comprehensive source for current continuity resources and direction.

## Goals and Objectives:

- **Goal #1 – To understand the transformation of continuity.**
  - Objective 1A – To understand the purpose of continuity and the Governor's vision.
  - Objective 1B – To understand our State's continuity concept of operations and key considerations.
  - Objective 1C – To understand continuity roles and responsibilities.
- **Goal #2 – To establish and ensure continuity of state priorities.**
  - Objective 2A – To identify continuity partners and functions.
  - Objective 2B – To identify State Mission Essential Functions.
  - Objective 2C – To identify State Primary Mission Essential Functions.
  - Objective 2D – To establish roles, responsibilities, and actions for the State's senior continuity officials.
- **Goal #3 – To ensure continuity readiness procedures and metrics.**
  - Objective 3A – To establish a Continuity Program Management Cycle.
  - Objective 3B – To establish continuity requirements and metrics.
  - Objective 3C – To establish roles, responsibilities, and actions for continuity officials.
- **Goal #4 – To promote interoperability.**
  - Objective 4A – To promote interoperability among the branches of the State Government.
  - Objective 4B – To promote interoperability among Federal, State, local, and tribal governments.
  - Objective 4C – To promote interoperability between the private sector critical infrastructure owners and operators and the government.

## Chapter 1: Background and Overview

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### GOAL 1: To understand the transformation of continuity.

**State Continuity Policy:** It is the policy of the State of Oklahoma to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of State Essential Functions under all conditions.

### OBJECTIVE 1A – To understand the purpose of continuity and the Governor’s vision.

#### Introduction

The *State Continuity Policy* (“*Policy*”) of the State of Oklahoma is designed to ensure an uninterrupted succession of our constitutional form of government in the face of any hazard, recognizing that catastrophic incidents could pose a threat to our citizens and our way of life. The importance of continuity at the state level is embodied in our responsibility to preserve our constitutional form of government. The Constitution is the bedrock of our system of laws and individual rights and provides the basis for governance and leadership. The protection and continuance of our form of government is also critical to government systems at the Federal and local levels. The services provided by governments at all levels and the private sector affect the everyday lives of citizens and customers. Many of those services are essential, particularly in the areas of law and order, health, and daily sustenance. Thus, our constitutional form of government embodies governance at the highest level down to the rights, privileges, and services provided to individual citizens.

The *Policy* takes an all-hazards approach, emphasizing a comprehensive planning effort designed to accomplish the following: provide the capability to have continuity of leadership visible to the State and the nation; defend the State against all enemies, foreign and domestic; maintain and foster relationships with federal, state, local, and tribal governments; protect against threats to the homeland; ensure the State’s readiness to respond rapidly and effectively to the consequences of an attack or other incident; protect the State’s economy and ensure public confidence in its financial systems; and provide critical State Government services that address the health, safety, and welfare needs of the State of Oklahoma.

This chapter provides an understanding of the concept of continuity, its importance to our State’s security and well-being, the components of a viable continuity program, and the responsibilities of key officials in the planning and execution of our continuity capability.

**COOP, or Continuity of Operations**, is an effort within *individual* organizations (e.g., State departments and agencies) to ensure that State Mission Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies. This effort includes the recovery of Mission Essential Functions and technology systems necessary to support State Mission Essential Functions.

*Continued on next page.*

**COG, or Continuity of Government**, means a *coordinated* effort among all branches of government to ensure that State Essential Functions continue to be performed during a catastrophic emergency; and

**ECG, or Enduring Constitutional Government**, means a cooperative effort among the legislative, executive, and judicial branches of the State Government, coordinated by the Governor and the State Continuity Coordinator, as a matter of comity with respect to the legislative and judicial branches and with proper respect for the constitutional separation of powers among the branches, to preserve the constitutional framework under which the State is governed and the capability of all three branches of government to execute constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, interoperability, and support of the State Essential Functions during a catastrophic emergency.

– *Note: These are operational definitions provided to facilitate a better understanding.*

### Box 1

In the past, COOP, COG, and ECG plans and programs were separate, compartmented activities. However, the lessons we now have from such catastrophic events as the attacks of September 11, 2001, and Hurricane Katrina in 2005, demonstrate the need to reemphasize continuity as a “good business practice” to be incorporated into day-to-day planning in order to reduce vulnerability and ensure continuity.

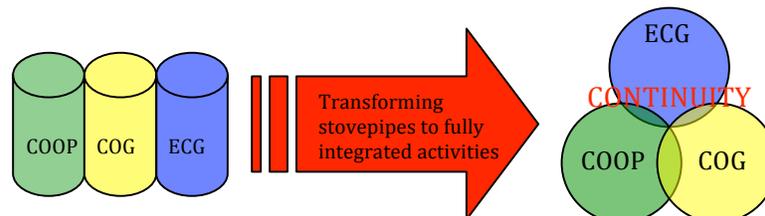


Figure 1

Continuity responsibility and planning is no longer a separate, compartmented function of an independent cell of a few planners in each government department and agency. In recent years, some departments and agencies have begun to integrate continuity planning into all aspects of their organization’s mission, moving it from the “other duties as assigned” category to a function integrated across all groups within an organization and creating a culture of continuity. This *Plan* directs that continuity planning occur simultaneously as functions are developed and executed.

While the State Government has invested significant resources to ensure the continuity of government operations during scenarios ranging from utility failures and natural disasters to intentional attacks, it is critical to remember that most of the State Essential Functions (SEFs) cannot be performed without the robust involvement of non-government agencies and the private sector. Some of those functions include public health, law enforcement, the administration of justice, economic stability, and response to natural and manmade disasters. While both large and small private sector companies have long understood the need for continuity planning and implementation, especially for financial reasons, government organizations have also had some continuity success stories.

## **OBJECTIVE 1B – To understand our State’s continuity concept of operations and key considerations.**

### **KEY CONSIDERATIONS AND CONCEPT OF OPERATIONS**

The continuous performance of essential functions must be guaranteed with the right people, the right resources, and the right planning. Continuity cannot be an afterthought for organizations as they strive to perform essential functions.

Unfortunately, there are a myriad of natural hazards, manmade threats, and acts of war that are capable of interrupting the functions of government and private sector organizations. Some of these threats are more predictable than others. Tornadoes, ice storms, flooding, wild fires, hurricanes and pandemic outbreaks may or may not allow for a warning time prior to their arrival. Other hazards, such as earthquakes, accidents, sabotage, and terrorism, which are not as predictable, may occur suddenly and with little or no warning. We also continue to face the threat of a strategic nuclear attack, a chemical or biological attack, and “dirty bomb” radiological devices. All of those threats are real and dangerous, and they could adversely affect the ability of government at all levels and the private sector to provide essential functions and services to our citizens. Thus, we have a critical and ongoing need to ensure the effectiveness of our continuity capability through planning, operations, tests, training, and exercises.

State departments and agencies will incorporate the following key continuity concepts in developing specific operational procedures to ensure a robust continuity capability: an understanding of essential functions; consideration of risk management; clear lines of authority; necessary communications capability; adequate facilities; ample security; thoughtful preparedness; and integration with incident management (as required). The consideration, preparation, and execution of those elements are fundamental for a successful concept of operations for continuity.

### **ESSENTIAL FUNCTIONS**

The State Government prioritizes the following three categories of essential functions, which are further described in Chapter 2:

- State Essential Functions (SEFs) – The eight functions the Governor and state leadership will focus on to lead and sustain the State during a catastrophic emergency.
- State Primary Mission Essential Functions (SPMEFs) – A subset of department and agency SMEFs that directly support the SEFs.
- State Mission Essential Functions (SMEFs) – The limited set of department and agency-level government functions that must be continued after a disruption of normal activities.

The State Government recognizes that the entire spectrum of essential functions might not be performed or needed in the immediate aftermath of an emergency. Indeed, in a crisis, resources may be scarce. Allocating resources based on sound planning helps to ensure that the delivery of essential services will remain uninterrupted across a wide range of potential emergencies and provides a mechanism for the resumption of all functions as resources become available. Directly linking SPMEFs to a SEF requires the State departments and agencies to identify the most critical functions that must continue through an emergency and the planning required to perform those functions. This model serves as a template for other government organizations and for private sector entities.

## KEY COMPONENTS

An organization's continuity capability—its ability to perform its essential functions continuously rests upon key components or pillars, which are in turn built on the foundation of continuity planning and continuity program management. Those key pillars are Leadership, Staff, Facilities, and Communications and Technology. They are important during normal operating status, and they are critical during times of crisis, especially when an organization is functioning with limited information or resources. An organization's resiliency is directly related to its continuity capability.



Figure 2

A resilient continuity capability includes the following concepts:

**Continuity Capability** is the ability of an organization to continue performance of essential functions, utilizing Continuity of Operations and Continuity of Government programs and integrated, day-to-day operations with a primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of State Essential Functions under all conditions. Built from the foundation of continuity planning and continuity program management, the key pillars of continuity capability are Leadership, Staff, Facilities, and Communication and Technology. Proper continuity planning requires the conduct of a comprehensive business impact analysis, which is used to determine agency mission essential functions, technology systems recovery and restoration program objectives.

**Essential Functions** are the critical activities that are performed by organizations.

**Leadership** comprises the senior decision makers designated to head an organization (e.g., Governor, Cabinet Secretary, Agency Director, Chief Executive Officer, or manager). Ensuring survivable leadership is accomplished by physically protecting the person (sheltering in place or relocating away from the threat), as well as having a prioritized list of designated successors. The designation as a successor enables a person to act for and exercise the powers of the principal in the event of death, incapacity, or resignation.

*Continued on next page.*

**Staff** comprises those personnel that provide the leadership advice, recommendations, and the functional support necessary to continue essential operations.

**Communications and Technology** includes voice, video, and information technology systems that enable leadership and staff to conduct Essential Functions. Communications and technology systems are required to facilitate coordinated, integrated policy and operational recommendations to leadership and enables coordination with State departments and agencies; local and tribal governments; and the private sector as necessary to perform Essential Functions.

**Facilities** represent locations where leadership and staffs may operate. Leadership and staff may be co-located in one facility or dispersed through many locations, connected virtually through communications systems. Facilities must be able to provide survivable protection and enable continued, endurable operations.

**Planning**, the first step in a robust Program Management Cycle includes pre-identifying the right people, places, budgeting, resources, technology, information systems, tasks, and procedures required to fulfill Essential Functions. The cornerstone of planning is the business impact analysis that identifies the mission essential functions and serves as the basis of a technology recovery and restoration program.

**Program Management** is the continuous cycle of planning, training, evaluating, and implementing corrective actions. (This is further discussed in Chapter 3.)

*Note: These operational definitions are provided to facilitate a better understanding of Figure 2.*

## Box 2

Before and during an emergency situation that triggers a continuity plan, leaders and staff must be prepared to allocate scarce resources. Organizations must identify the people, communications, facilities, infrastructure, transportation, and funding needed to support continuity programs. Those programs must be integrated into the budget process at all levels.

### **Pillars 1 and 2: People – Leadership and Staff**

People are the heart and soul of any organization and the most valuable resource it has. Having the right people for an organization's staff is always important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. Continuity of leadership is critical to ensure continuity of essential functions. Organizations must provide for a clear line of succession in the absence of existing leadership and the necessary delegations of authority to ensure that succeeding leadership has the legal authorities to carry out their duties. Continuity of leadership during crisis, especially in the case of senior positions like the Governor and heads of departments and agencies, is important to reassure the State and give confidence to our citizens that the principal or appropriate successor is managing whatever crisis the State faces and ensuring the performance of our State Essential Functions. Leaders and staff must be sufficiently trained to be able to perform their duties in a continuity environment (i.e., one in which an organization is faced with an interruption of normal operations for a potentially protracted period of time). In order to ensure that required skill sets are available, personnel should be both cross-trained and "vertically" trained to be able to perform the functions of their peers and the person above and below them in an emergency.

### **Pillar 3: Facilities**

Facilities are the locations where Essential Functions are performed by leadership and staff. Organizations should have adequate, separate locations to ensure execution of their functions. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one location. Daily operating facilities must be evaluated for “hardness” (i.e., the ability to withstand natural disasters and utility failures and to protect people who need to shelter-in-place). While the hardness of daily operating facilities is a key consideration, alternate facilities must also be identified for the relocation of a limited number of key leaders and staff. Those facilities should replicate essential capabilities by providing systems and configurations that are used in daily activities. Additionally, it is financially prudent to structure and configure alternate facilities such that daily activities can be replaced or augmented with those required during an emergency (often referred to as dual use facilities).

### **Pillar 4: Communications and Technology**

The capability to communicate and access information systems is critical to daily operations and absolutely essential in a crisis. The State’s telecommunications resources, including commercial, private, and government-owned services and facilities, are essential to support state continuity policy. Both communications and technology systems must be interoperable, robust, reliable, and have adequate redundancies. Planners must consider the resilience of their systems to operate in disaster scenarios that may include power and other infrastructure problems. Organizations must use technology to perform SMEFs as an intrinsic part of daily operations, utilizing voice, data, and video solutions as appropriate. Therefore, it is of utmost importance that both continuity of operations plans and technology recovery plans be built upon the common framework of a business impact analysis. Communications, technology and business systems, including hardware and software for continuity operations, should mirror those used in day-to-day business to assist continuity leadership and staff in a seamless transition to crisis operations.

### **Foundation: Continuity Planning and Program Management**

While an organization needs leaders, staff, communications, and facilities to perform its Essential Functions, it also needs well thought out and detailed plans for what to do with those key resources. Planning must include thinking through all of the requirements, technology and procedures needed to perform Essential Functions and establishing contingency plans in the event that key resources are not available. Again, it is of utmost importance that both continuity of operations plans and technology recovery plans be built upon the common framework of a business impact analysis. Other planning components include budgeting, developing operational plans, and identifying clear goals and priorities.

Chapter 2 of this *Plan* discusses state priorities and the planning required for SMEFs and SPMEFs, including information about conducting a Business Process Analysis and/or a Business Impact Analysis.

Chapter 3 of this *Plan* discusses planning as the first step in a robust Continuity Program Management Cycle and details the rest of the continuous process to test, evaluate, and make corrective actions to continuity plans. In addition to the planning elements listed above, continuity planning requirements also include consideration of communications and technology recovery, risk management, geographic dispersion, security, preparedness, and integration of continuity and incident management.

### *Communications and Technology Recovery*

Communications and technology recovery focuses on the restoration of communications and technology assets required to support mission essential functions. The cornerstone of planning is the business impact analysis that identifies the mission essential functions and serves as the basis of a technology recovery and restoration program.

### *Risk Management*

Risk management is the process to identify, control, and minimize the impact of uncertain events. While there are many well-documented methodologies for risk management—some are referred to as risk analysis—most require an assessment and understanding of three basic concepts:

- The consequences of not protecting valuable assets (e.g., people, information, and facilities) and/or not performing essential functions;
- The threat environment (as it relates to a particular business or concern); and,
- The level of vulnerability (ies) to the relevant threats.

When reviewing an organization’s risks and risk management programs, additional factors such as probability, mission priorities, and impact assessments must be considered. Further, cost may also be a factor as informed decisions about acceptable and unacceptable levels of risk will ultimately drive the expenditure of resources (i.e., money, people, and time) to mitigate risk. Risk will never be fully mitigated, and no organization could afford to counter every threat to its mission. Intelligent analysis of where and when to focus resources and/or apply funding and other assets is critical for successful continuity planning. Appropriate planning and investment to ensure survival from natural disasters and deliberate attack must go beyond classical risk analysis of “severity times probability.” As an integral part of risk management, an organization’s leaders must think beyond the internal effects of their inability to perform State Mission Essential Functions. Department and agency heads and staff at all levels must consider the interdependencies between and among departments and agencies that share critical roles in the delivery of SEF capabilities.

### *Geographic Dispersion*

Incorporating geographic dispersal in an organization’s normal daily operations, as appropriate, can significantly enhance the organization’s resilience and reduce the risk of losing the capability to perform essential functions. While some leadership and staff want to be located near headquarters, organizations should appropriately disperse staff elements and functions away from the main headquarters building on a routine operating basis to enhance the survival of key personnel and functions. With the continuing improvements in desktop teleconferencing and collaborative tools, the ability to conduct daily business from geographically dispersed locations is growing more commonplace and, if done routinely, will serve as a model for dispersed operations in the event of an emergency. Geographic dispersion of leadership, data storage, personnel, and other capabilities may be essential to the performance of SMEFs following a catastrophic event.

### *Security*

Security is a key element to any continuity program to protect plans, personnel, facilities, and capabilities to prevent adversaries from interdicting your continuity plans and operations. In order to ensure the safety and success of continuity operations, an effective security strategy must address

personnel, physical, and information security. Organizations must adopt appropriate security measures to protect information and capabilities while ensuring awareness of plans and procedures by leadership and staff to enable them to effectively function in an emergency. Another key component of our homeland security is securing cyberspace. This is an ongoing, complex challenge that requires a coordinated and focused effort from the Federal Government, State, local and tribal governments, the private sector, and the American people. As identified by *The Strategy to Secure Cyberspace*, our critical infrastructures consist of the physical and cyber assets of public and private institutions in several sectors: agriculture; food; water; public health; emergency services; government; defense industrial base; information and telecommunications; energy; transportation; banking and finance; chemicals and hazardous materials; and postal and shipping. Cyberspace is the nervous system of these infrastructures—the control system of our country. Cyberspace consists of hundreds of thousands of interconnected computers, servers, routers, switches, and fiber optic cables that make our critical infrastructures work. Thus, the healthy functioning of cyberspace is essential to our economy and our security.

### *Readiness and Preparedness*

Readiness is the ability of an organization to respond to an incident. While readiness is a function of planning and training, it is ultimately the responsibility of leadership to ensure an organization—through normal procedures or with a continuity plan—can perform before, during, and after an incident. For the State Government, the Continuity of Government Readiness Conditions (COGCON) system establishes readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies, focusing on possible threats to the State Capital Region. The COGCON system is a means to establish, measure, and report the readiness of executive branch continuity programs independent of other State Government readiness systems. Four COGCON levels provide for an incremental increase in and deployment of people and resources to enhance staffing, survivability, responsiveness, and availability of assets for immediate support to leadership. The designated COGCON level is based on the current threat and/or risk to the State Government.

- COGCON 4 is the day-to-day readiness level with State Government employees at their normal work locations.
- COGCON 3 requires State departments and agencies to “warm up” their alternate sites and capabilities, which includes testing communications and IT systems and ensuring alternate facilities are prepared to receive continuity staffs.
- COGCON 2 calls for a deployment of up to 50-75% of continuity staff to relocate from their normal work sites to alternate locations, establish their ability to conduct operations, and prepare to perform their organization’s essential functions in the event of a catastrophic emergency.
- COGCON 1 calls for a full deployment of designated leadership and continuity staffs to perform the organization’s essential functions from alternate facilities either as a result of, or in preparation for, a catastrophic emergency.

The Governor or his designee determines and issues the COGCON level. The Oklahoma Office of Homeland Security (OKOHS) makes the appropriate notifications to State Government departments and agencies, which shall comply with the requirements and assigned responsibilities

documented in the COGCON system. While COGCON establishes the State Government readiness levels, the U.S. Department of Homeland Security (DHS) uses several separate tools to enhance readiness and drive preparedness actions for the general public. The Homeland Security Advisory System (HSAS) provides guidance to the public on the status of our homeland security. This System combines threat information with vulnerability assessments and communicates this information to public safety officials and the general public. Updates on the threat level in Oklahoma can be found at [www.homelandsecurity.ok.gov](http://www.homelandsecurity.ok.gov). The HSAS includes the following components:

- Homeland Security Threat Advisories contain actionable information about an incident involving, or a threat targeting, critical national networks or infrastructures or key assets. They could, for example, relay newly developed procedures that, when implemented, would significantly improve security or protection. They could also suggest a change in readiness posture, protective actions, or response. This category includes products formerly named alerts, advisories, and sector notifications. Advisories are targeted to Federal, State, and local governments, private sector organizations, and international partners.
- Homeland Security Information Bulletins communicate information of interest to critical infrastructures that do not meet the timeliness, specificity, or significance thresholds of Threat Advisories. Such information may include statistical reports, periodic summaries, incident response or reporting guidelines, common vulnerabilities and patches, and configuration standards or tools. It also may include preliminary requests for information. Bulletins are targeted to Federal, State, and local governments, private sector organizations, and international partners.
- The Threat Level System is used to communicate with public safety officials and the public at-large through a threat-based, color-coded system so that protective measures can be implemented to reduce the likelihood or impact of an attack. Since raising the threat condition has economic, physical, and psychological effects on the Nation, the Homeland Security Advisory System can place specific geographic regions or industry sectors on a higher alert status than other regions or industries, based on specific threat information.



Figure 3

Preparedness is a dynamic process involving identification of SMEFs, risk management, planning, training, exercises, continual assessment of plans and capabilities, and remediation. The better prepared we are to deal with threats, the better our continuity capability will be.

### ***Integration of Continuity and Incident Management***

Integration of continuity planning with incident management planning and operations include responsibilities delineated in the Emergency Operations Plan (EOP) and is linked to an organization’s ability to conduct its SPMEFs. This *Plan* does not delineate new procedures for incident management activities other than already established protocols; however this *Plan* does emphasize that organizations with incident management responsibilities must incorporate

requirements to perform these functions into continuity planning. Integration is especially key for agencies and departments that monitor or convene during an incident, such as the Emergency Operations Center (EOC). The lead agency for these interagency groups must develop and share continuity plans to ensure the group's continued capability regardless of circumstance. In accordance with the Executive Proclamation in support of (HSPD)-5, the National Incident Management System (NIMS) is the standard for incident management in Oklahoma.

## **OBJECTIVE 1C – To understand continuity roles and responsibilities.**

### **ROLES AND RESPONSIBILITIES**

#### **Roles:**

##### ***State Government***

The State Continuity Coordinator (SCC) leads the development and coordinates the implementation of continuity policy. The Continuity Policy Coordination Committee (CPCC), led by the SCC, is the main day-to-day forum for such policy coordination. The CPCC is responsible for coordinating the establishment of criteria, implementation, execution, and assessment of continuity operations and activities of departments and agencies. Heads of departments and agencies are required to plan, program, and budget resources appropriate to their organization at levels that ensure their continuity capability to accomplish their essential functions. Additionally, heads of departments and agencies should partner with local and tribal governments, as well as private sector owners and operators, to develop continuity plans that are consistent with State plans to the extent possible. That should be accomplished in coordination with the SCC, who is responsible for developing and promulgating continuity planning guidance and directives. The legislative and judicial branches are similarly required to develop and implement their own unique continuity programs and coordinate with the executive branch as appropriate to ensure ECG capability. (Chapter 4A of this *Plan* contains specific guidance for the legislative and judicial branches.)

##### ***Local and Tribal Governments***

Local and tribal governments play an integral role in determining the needs of the general public and ensuring the continuation of essential services on a daily basis (e.g., police and fire services, road construction, and public education). Those non-State Government partners should work with the SCC, with existing procedures, in coordinating continuity plans. Those processes facilitate the allocation of resources for the development of continuity plans and the procurement of emergency response equipment. Continuity planners should incorporate the capabilities of local and tribal governments into their planning and exercise activities to the extent possible. (Chapter 4B of this *Plan* contains specific guidance for non-State Government entities.)

##### ***Private Sector***

In addition to government functions, continuity of essential services provided by the private sector is also extremely important. Critical infrastructure protection is a shared responsibility among State, local, and tribal governments and the owners and operators of critical infrastructure and key resources (CI/KR). Partnership between the public and private sectors is essential, in part because the private sector owns and operates 85% of the critical infrastructure while government agencies have access to critical threat information. Existing directives (e.g., The National Infrastructure Protection Plan; Homeland Security Presidential Directive- 7 of December 17, 2003, Critical

Infrastructure Identification, Prioritization, and Protection) provide guidance for critical infrastructure protection and should be included in continuity planning and utilized to the maximum extent. (Chapter 4C of this *Plan* contains specific guidance for the private sector.)

### **Continuity Planners**

Continuity planners at all levels have the responsibility of fully understanding their organization and monitoring the direction, guidance, and best practices of government and the private sector in order to develop the most relevant and robust continuity programs. Candid and honest assessments, appropriate application of risk management principles and concepts, and openness to new concepts and ideas—from maximizing the benefits of telework to planning for viable geographic dispersion of functions and leadership—are the underpinnings of an effective program. Maximizing the use of exercises, whether table-top or full scale, in order to test plans as well as to highlight areas for improvement, will further hone continuity plans. Continuity planners are integral parts of an organization and must be positioned and empowered at a assistant commissioner or equivalent level to be effective. Continuity can no longer be “bolted on”—it must be built into all functions and mission areas.

### **Individuals**

The most basic and fundamental foundation of continuity, at any level of government or within the private sector, is personal responsibility and readiness. Individuals must understand their roles and responsibilities within their respective organizations. They need to know and be committed to their duties in a continuity environment. This may involve separation from family or other hardships in time of crisis. Some might be required to report to work at a primary or alternate site; others may be directed to remain at home for teleworking or to remain available for reach-back and staff augmentation. Individuals need to understand and be willing to perform in these situations to ensure an organization can continue its Essential Functions. At the same time, most individuals will need to make sure that family members are taken care of in an emergency situation. The Oklahoma Office of Homeland Security provides excellent planning guides in a variety of educational documents a [www.homelandsecurity.ok.us](http://www.homelandsecurity.ok.us) and [www.reddirtready.com](http://www.reddirtready.com).

### **Responsibilities:**

Continuity responsibilities are shared between those who develop policy and those charged with implementation of that policy. Executive Order 2009-11 directs the CPCC to coordinate the development and implementation of continuity policy for State executive branch departments and agencies. In accordance with the direction and guidance provided by the CPCC, State departments and agencies are responsible for implementation of continuity policy. All other State organizations, non-State Government entities (including local and tribal governments) (NFGs), and private sector entities are encouraged to adopt policies and procedures consistent with this *Plan*.

The remainder of this *Plan* provides guidance and direction and, where appropriate, goals and milestones that must be met in order to implement continuity of governments. This *Plan* directs actions to be taken by the heads of State departments and agencies and is a useful reference document for non-State Government and private sector entities. It is also designed to foster and facilitate coordination and cooperation between the State executive, legislative and judicial branches of government. The extent to which all organizations, public or private, speak the same language; share the same goals; and coordinate fully on continuity planning, training, exercising, and operations will determine this State’s readiness and ability to perform operations in a crisis.

## Chapter 2: State Priorities

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**GOAL 2: To establish and ensure continuity of state priorities.**

### Introduction

The ultimate goal of continuity in State Government is the continuation of State Essential Functions (SEFs). In order to achieve that goal, the objective for departments and agencies is to identify their State Mission Essential Functions (SMEFs) and ensure that those functions can be continued throughout, or resumed rapidly after, a disruption of normal activities. While the State Government provides myriad services to Oklahoma citizens, it is important to identify those services that must be continued during an emergency. Setting priorities is difficult, but organizations should not wait for a crisis to determine what is important. This chapter defines the most important state priorities, directs departments and agencies to identify their most important functions, tasks the CPCC to validate department and agency State Primary Mission Essential Functions, and acknowledges the important partnership that the State Government has with other government entities and with private sector owners and operators.

### KEY CONSIDERATIONS

**OBJECTIVE 2A – To identify continuity partners and functions.**

#### Partners

While this *Plan* is primarily directed at the executive branch of the State Government, continuity cannot occur without the commitment and dedication of many others who play integral roles in ensuring our homeland security (Figure 4).

Those partners include the following:

- State Government: legislative branch, executive branch (including all departments and agencies), and judicial branch;
- Local and tribal governments; and
- Private Sector Critical Infrastructure Owners and Operators

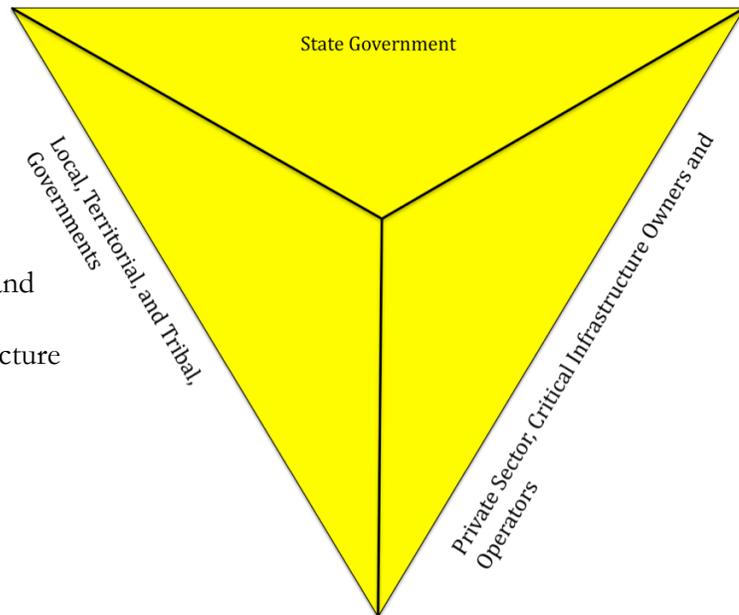


Figure 4  
State Continuity Implementation Plan 12

## Functions

**Government Functions** are the collective functions of departments and agencies as defined by the Constitution, statute, regulation, executive order or other legal authority and the functions of the legislative and judicial branches (Figure 5). The activities of local and tribal governments, and private sector organizations often support State Government functions, particularly in the protection of critical infrastructure and key resources (CI/KR). This interdependency relies upon greater interoperability between and among these partners to facilitate a more rapid and effective response to and recovery from any emergency.

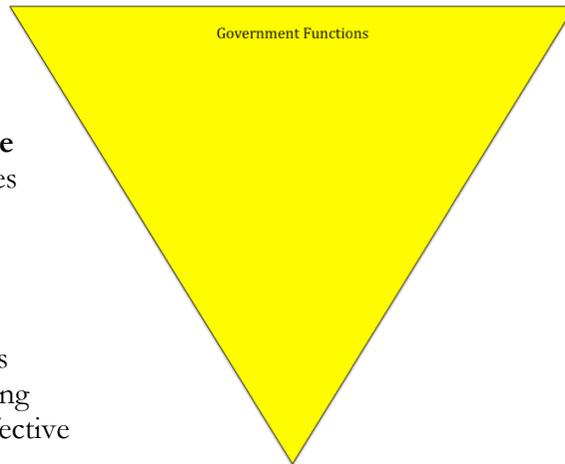


Figure 5

### **State Mission Essential Functions (SMEFs):**

SMEFs are described as the limited set of department- and agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities (Figure 6). SMEFs are those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during disruption of normal operations. Once identified, SMEFs serve as key continuity planning factors for departments and agencies to determine appropriate staffing, communications, information, facilities, training, and other requirements.

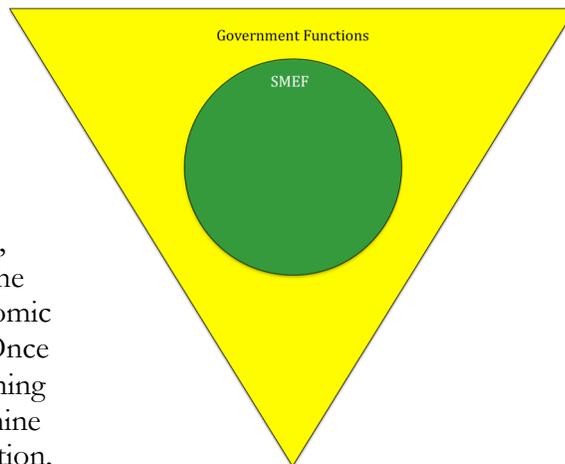


Figure 6

**State Primary Mission Essential Functions (SPMEFs):** SPMEFs are those department and agency mission essential functions, validated by the CPCC, which must be performed in order to support the performance of the SEFs before, during, and in the aftermath of an emergency (Figure 7).

SPMEFs are defined as those functions that need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

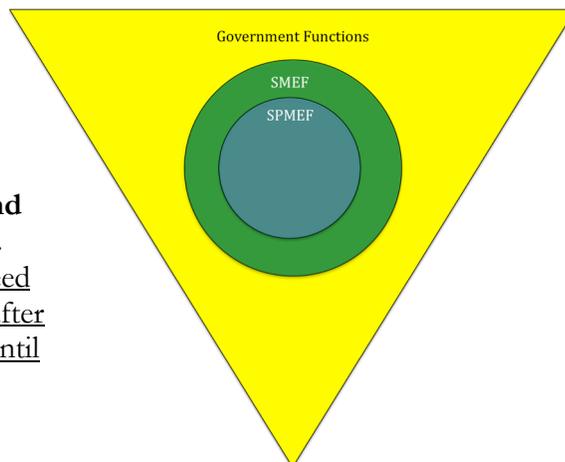


Figure 7

**State Essential Functions (SEFs):** The eight SEFs represent the overarching responsibilities of the State Government to lead and sustain the State of Oklahoma and shall be the primary focus of the State Government leadership during and in the aftermath of an emergency (Figure 8).

Figure 9 shows the interdependencies of the key partners and the functions of continuity. Independent government entities at all levels and individual private sector companies are intimately connected and work together in critical partnership to ensure continuation of essential functions.

## STATE ESSENTIAL FUNCTIONS

The SEFs will be the primary focus of the Governor and the state leadership during and following an emergency. These are categories of functions performed by one or more departments and agencies; they are not new authorities, requirements, or functions. The State Essential Functions (SEFs) are:

1. **Ensuring the continued functioning of our state government under the Oklahoma Constitution, including the functioning of the three separate branches of government.** This SEF includes State executive branch functions that respect the roles and maintain the check and balance relationship among all three branches of the State Government.
2. **Providing leadership visible to the State and the Nation and maintaining the trust and confidence of Oklahoma citizens.** This SEF includes State department and agency functions to demonstrate that the State Government is viable, functioning, and effectively addressing any emergency.
3. **Defending the Constitution of Oklahoma against all enemies, foreign and domestic, and preventing or interdicting attacks against Oklahoma or its people, property, or interests.** This SEF includes State department and agency functions to protect and defend the interests of the State of Oklahoma against foreign or domestic enemies, honor security agreements, implement military operations ordered by the Governor, maintain military readiness, and maintain preparedness to achieve state objectives.
4. **Maintaining and fostering effective relationships with federal, state, local, and tribal governments.** This SEF includes State department and agency functions to maintain policies supportive of other governments.

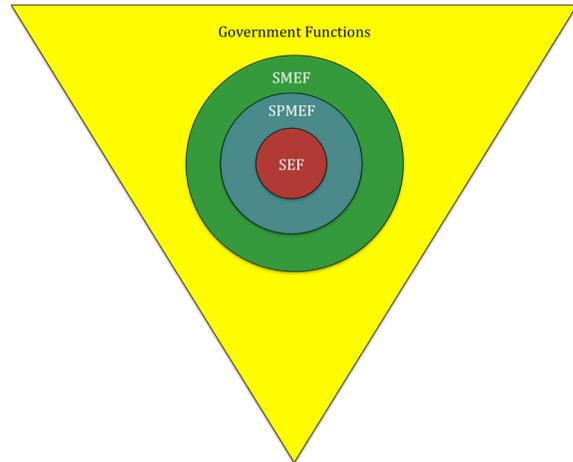


Figure 8

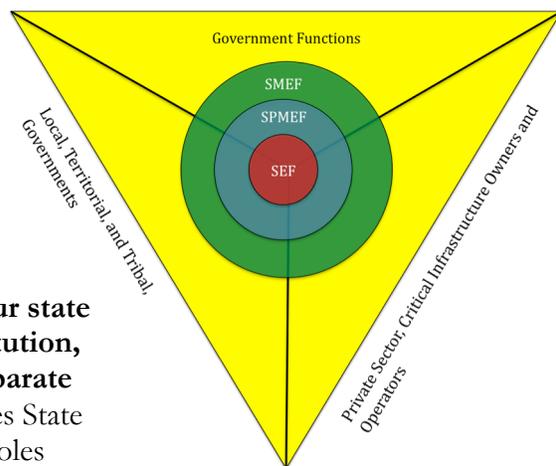


Figure 9

5. **Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against Oklahoma or its people, property, or interests.** This SEF includes State department and agency functions to protect against, prevent, or interdict attacks on the people or interests of the State and to identify, neutralize, and prosecute those who have committed or intend to commit violations of the law.
6. **Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident.** This SEF includes State department and agency functions to implement response and recovery plans, including, but not limited to, the implementation of the Emergency Response Plan.
7. **Protecting and stabilizing Oklahoma’s economy and ensuring public confidence in its financial systems.** This SEF includes State department and agency functions to respond to and recover from the economic consequences of an attack or other major impact on state or local economic functions or activities.
8. **Providing for critical State Government services that address the health, safety, and welfare needs of Oklahomans.** This SEF includes State department and agency functions that ensure that the critical State-level health, safety, and welfare services of Oklahoma are provided during an emergency.

Figure 10 shows how the Mission Essential Functions, Primary Mission Essential Functions, and Essential Functions are tiered for both State and Federal Governments.

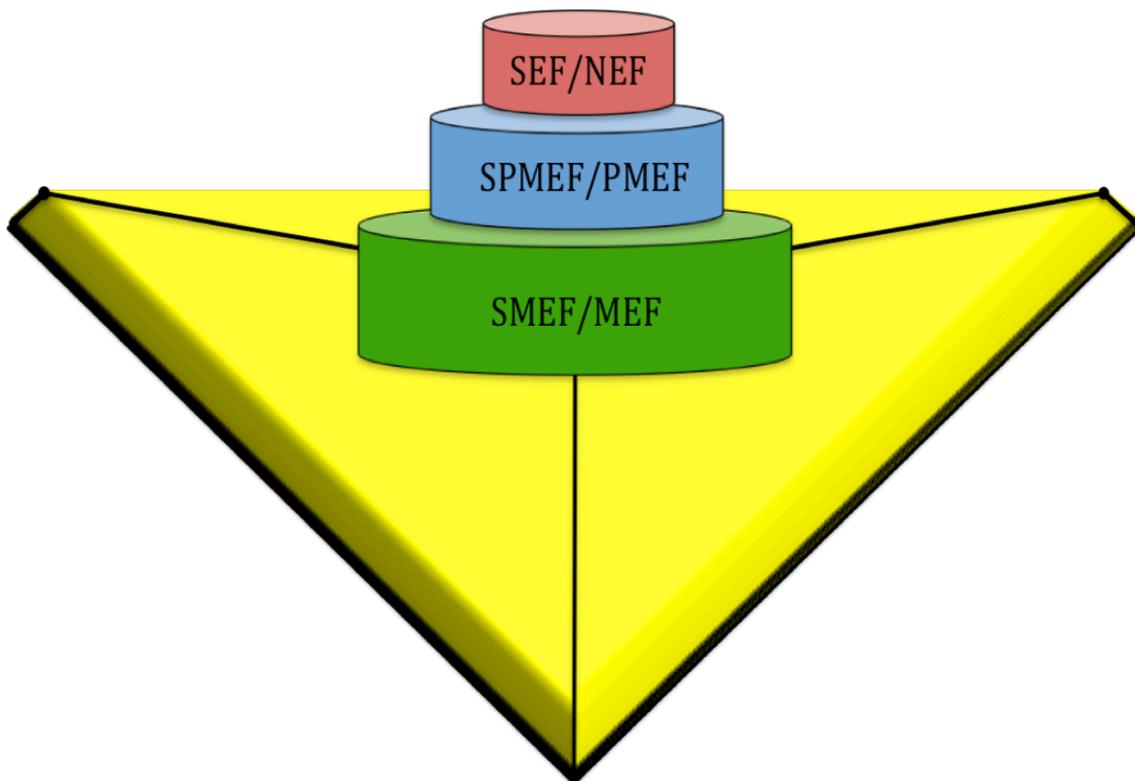


Figure 10

# STATE MISSION ESSENTIAL FUNCTIONS

## OBJECTIVE 2B – To identify State Mission Essential Functions.

### Process to Identify SMEFs

#### *Process – Prelude*

Identifying department and agency State Mission Essential Functions is a prerequisite for continuity because it establishes the parameters that drive the department and agency efforts in all other planning and preparedness areas. Identification of SMEFs requires an objective review of department and agency functions that delineates those time-sensitive and/or critical activities that must be sustained in an emergency.

SMEF Initial Screening Aid		
Is the function directed by state law, statute, and/or gubernatorial directive executive order? If yes, identify which:	YES	NO
Did a Business Process Analysis (BPA) determine that the function should be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency?	YES	NO
<i>If the answer to one or both of these questions is “No,” the function is probably not a SMEF.</i>		

Box 3

#### *Process – SMEF Identification and Analysis*

Departments and agencies will do the following when identifying and analyzing SMEFs.

- Review their organization’s functions as directed by applicable law, gubernatorial directives, executive orders, and other executive branch directives to identify their SMEFs;
- Conduct an SMEF Business Process Analysis (BPA) to identify and map functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of each identified SMEF (i.e., define how each SMEF is performed and executed with a business process flow map), which must be performed under all circumstances;
- Identify those SMEFs that provide vital interdependent support to an SMEF performed by another State department or agency or an Emergency Support Function under the Emergency Response Plan;
- Identify their SMEF(s) that require vital support from another State department or agency to ensure execution of their mission and identify when and where the particular interdependency is executed within the BPA business process flow; and
- Validate and approve the identified SMEF and BPA analysis by the department head.

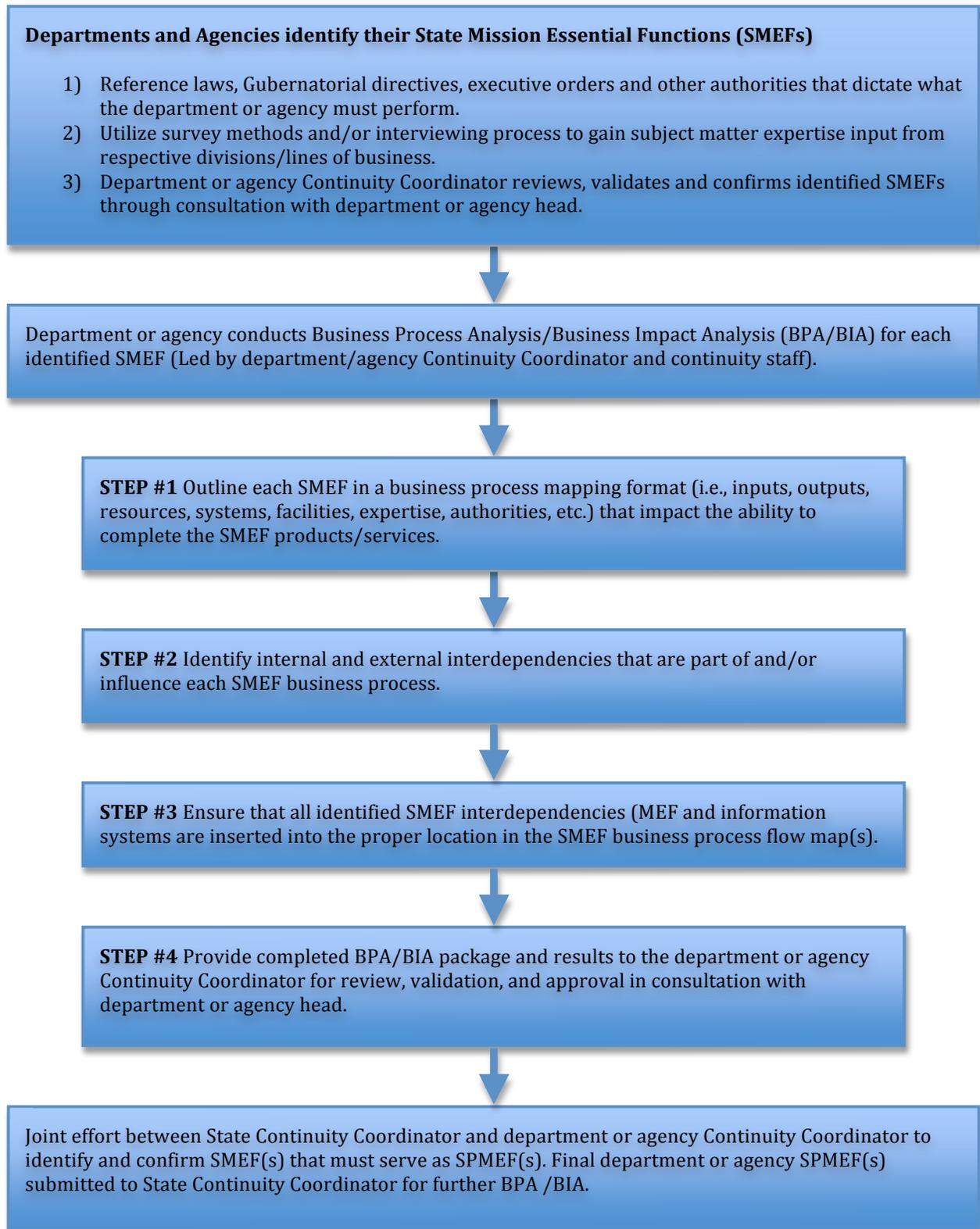


Figure 11

## STATE PRIMARY MISSION ESSENTIAL FUNCTIONS

### OBJECTIVE 2C – To identify State Primary Mission Essential Functions.

SPMEF Initial Screening Aid		
Does the function directly support a SEF?	YES	NO
If yes, identify which: 1 2 3 4 5 6 7 8		
Does the function need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance?	YES	NO
<i>The answers to both of these should be “YES” for the function to be considered a SPMEF.</i>		

Box 4

#### **Process – SPMEF Identification and Analysis:**

SPMEF identification is an iterative process performed by each department and agency in coordination with the CPCC. To identify and analyze SPMEFs, the following actions will take place:

- Upon SPMEF approval by each department or agency head, a joint effort between the CPCC and each department or agency Continuity Coordinator and staff will result in a preliminary identification of SPMEFs that potentially support SEFs. The joint effort will culminate in the department or agency’s submission of SPMEF identification results to the CPCC for further interagency analysis.
- The CPCC, chaired by the SCC, conducts a review of submitted potential SPMEFs and validates their relationship to the SEFs. An established risk management methodology (i.e., Business Impact Analysis (BIA or BPA) will be used to ensure that the SPMEFs are appropriate and relevant.
- Upon confirmation that the CPCC has determined that a department or agency’s SPMEF shall serve as a SPMEF, each department and agency will revisit the prioritization of their SPMEF recovery timelines to ensure SPMEF criticality.
- The CPCC will conduct a BPA to identify and map interagency SPMEF processes, workflows, activities, expertise, systems, data, and facilities inherent to the interagency execution of each SEF and define the SPMEF relationship to the SEF. The BPA will define how each SEF is executed via business process flow mapping (i.e., SEF serving as the “end product output” and interagency SPMEFs serving as the functional “inputs”).
- The CPCC must also conduct an analysis of interagency SPMEF interdependencies within each SEF to accurately depict each department or agency’s SPMEF execution capability and dependencies.

- The CPCC will review SEF-specific BIAs provided by the submitting agency to: (1) identify potential single points of failure(s) that may adversely affect the execution of the interagency SPMEF support to SEFs; (2) define the impact of downtime (i.e., impact of delayed SPMEF recovery on SEF execution); and (3) define potential SPMEF process alternatives/work-around solutions.
- SEF BPA and BIA and interagency list of SPMEFs are submitted to the CPCC for final approval.

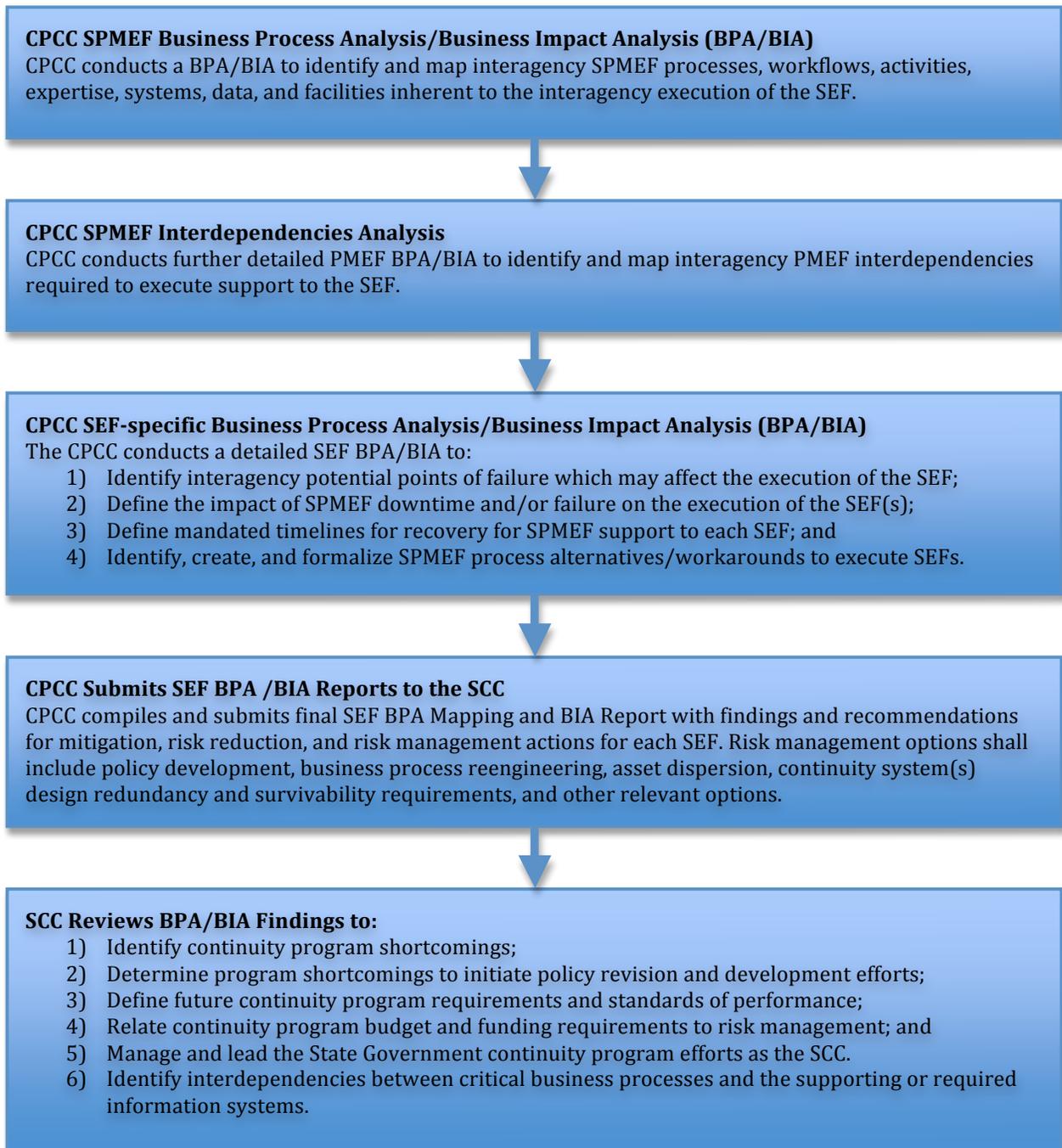


Figure 12

The immediacy of maintaining or recovering essential functions capability is driven by the results of the SMEF and SEF Business Process Analyses and the SEF Business Impact Analysis. Subsequently, the described risk management approach requires an emphasis on the geographic dispersion, redundancies, and survivability of leadership, staff, and infrastructure. Planners should assume that they will have no warning of the threats that we face in today's world. Threats might come from known or unknown sources. The nature of asymmetric threats is that they do not necessarily emanate from a single, fixed, and understood actor; asymmetric threats are, in many ways, less predictable and less understood, requiring planners to consider different approaches to plan for, mitigate, and respond to threats.

A successful BPA will identify gaps within a department or agency and areas where more than one department or agency has responsibilities. This gap identification provides departments and agencies an opportunity to fill the gap and ensure successful execution of essential functions and preparation for incident management. While OKOHS and the Department of Emergency Management have primary incident management responsibilities, departments and agencies at multiple levels should be able to successfully navigate their own critical incident management scenarios.

Continuity requirements must be incorporated into the daily operations of all departments and agencies to ensure seamless and immediate continuation of SPMEF capabilities. The department and agency planning process is described in Chapter 3.

## **OBJECTIVE 2D – To establish roles, responsibilities, and actions for the State's senior continuity officials.**

### **ROLES, RESPONSIBILITIES, AND ACTIONS**

#### **Governor**

The Governor leads the activities of the State Government for Enduring Constitutional Government.

#### **The Continuity Policy Coordination Committee (CPCC)**

The CPCC is responsible for coordinating, without exercising directive authority, the development and implementation of continuity policy for State departments and agencies. The CPCC will consist of one designee from each Cabinet Secretary (Adjutant General, Agriculture, Commerce and Tourism, Energy, Environment, Health, Human Resources and Administration, Human Services, Information Technology and Telecommunications, Public Safety, Science and Technology, State, Transportation, Finance and Revenue, and Veterans), one designee from the Oklahoma Office of Homeland Security, Department of Emergency Management, Office of State Finance, one designee appointed by the State Superintendent of Public Instruction, one designee appointed by the Speaker of the House of Representatives and one designee appointed by the President Pro Tempore of the Senate. Other Committee members may be appointed at the discretion of the Governor.

The CPCC will periodically review and, as necessary, coordinate the revision of the State Essential Functions (SEFs). The CPCC will maintain and revise as necessary the various department and agency SPMEFs and SMEFs in order to meet requirements for continuity, including Enduring Constitutional Government (ECG), Continuity of Government (COG), and Continuity of Operations (COOP).

The CPCC will focus on interagency implementation of continuity programs and assist its member departments and agencies in implementing directives within its scope by performing the following functions:

- Providing the forum to address issues ultimately requiring commitment of department and agency resources;
- Providing training and developing guidance documents;
- Facilitating the exchange of information, including lessons learned, and a sensing of the member community's views;
- Facilitating the overall coordination and decision process and the initial coordination among departments and agencies of plans and procedures for shared responsibilities;
- Identifying, prioritizing, and undertaking initiatives to explore options and make recommendations; and
- Assisting in resolving conflicts as required.

The CPCC will review and recommend validation of potential SPMEFs submitted by departments and agencies for submission to the SCC for final approval.

### **Actions for the CPCC**

1. On an ongoing basis, provide continuity policy coordination among all departments and agencies, monitor performance, and report to the SCC as appropriate.
2. Coordinate revision of the SEFs and department and agency SPMEFs and SMEFs.
3. Conducts meetings of the CPCC at least quarterly.
4. Establish a method and schedule to request agency proposals for identification of SPMEFs.
5. Establish a method and schedule to consider agency identified SPMEFs for validation and approval.
6. Develop or acquire a statewide continuity plan development, maintenance, and assessment tool for the departments and agencies to use that will facilitate the migration of existing plans to an agreed upon standard format, and will support the development, maintenance and assessment (testing) of new and existing plans, with the ability to measure continuity readiness and report the continuity assessment results to the SCC.
7. Within the annual budget process and on an ongoing basis, assist the Office of State Finance and departments and agencies with continuity budget development and prioritization, including long-term equipment life cycle replacements and upgrades.
8. On an ongoing basis, ensure coordination of continuity acquisition functions with Office of Homeland Security, Office of State Finance, and Department of Central Services.
9. On an ongoing basis, coordinate the integration of state continuity test, training, and exercise programs.
10. Annually submit a report to the Governor, Legislature, and Judicial Branch that assesses (a) the ability of departments and agencies to perform their SPMEFs, (b) the scope and effectiveness of legislative, executive, and judicial branch coordination, and the nature and level of executive branch support, to perform the SEFs and achieve common continuity goals, and (c) the scope and effectiveness of coordination among State, local, and tribal governments and the private sector to perform the SEFs and achieve continuity goals.

## **The State Continuity Coordinator (SCC)**

The SCC is responsible for overseeing the Continuity Policy Coordination Committee (CPCC), which was established consistent with Executive Order 2009-11. The CPCC is chaired by the SCC and is the main day-to-day forum for continuity policy coordination.

The SCC serves as the Governor's lead agent for coordinating planning for the continuity *operations* and *activities* of departments and agencies. The SCC provides continuity direction, training, and coordination of continuity exercises and provides continuity program assessments to the CPCC and appropriate State departments and agencies.

The SCC, in coordination with the CPCC, is responsible for disseminating in a State Continuity Directive (SCD) the standardized process for the identification of SMEFs and the identification and submission of potential SPMEFs for review by the CPCC, consolidating the departments' and agencies' SPMEFs, and compiling and submitting potential PMEfs to the CPCC. The SCC will conduct biennial assessments of department and agency continuity capabilities and report the results to the Governor.

The SCC, in coordination with the Chief Information Officer, is responsible for developing, implementing, and maintaining a comprehensive Continuity Communications Architecture (CCA). The CCA is especially important to support the State Command and Coordination Capability (SCCC), which provides the Governor with the ability to respond deliberately and appropriately to any crisis. The SCC is also responsible for conducting quarterly and annual assessments of continuity communications capabilities in consultation with an official designated by the Governor.

The SCC is responsible for developing, leading, and conducting the State continuity training and exercise program, which shall be incorporated into the State Exercise Program (SEP) developed pursuant to Homeland Security Presidential Directive-8 of December 17, 2003 ("National Preparedness"), in consultation with an official designated by the Governor. The SEP utilizes the Homeland Security Exercise and Evaluation Program (HSEEP) as the common exercise methodology. HSEEP is a capabilities and performance-based exercise program that provides standardized policy, doctrine, and terminology for the design, development, conduct, and evaluation of homeland security exercises. HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

The SCC shall coordinate the integration of State continuity plans and operations with local and tribal governments and private sector owners and operators of critical infrastructure, as appropriate, in order to provide for the delivery of essential services during an emergency.

The SCC will develop and promulgate continuity planning guidance to non-State entities. Guidance should include procedures and models for development of SPMEFs, orders of succession, delegations of authority, devolution, reconstitution, establishment of alternate facilities, interoperable communications, the safeguarding of vital resources, facilities, and records, and a test, training, and exercise program that will ensure a viable continuity program.

## **Actions for the State Continuity Coordinator**

1. On an ongoing basis, serve as the Governor's lead agent for coordinating overall continuity operations and activities and domestic incident management of State departments and agencies, and in such role perform the responsibilities set forth in NSPD-51/HSPD-20 and in HSPD-5.
2. On an ongoing basis, coordinate with the Oklahoma Department of Emergency Management to maintain 24- hour operations to ensure appropriate responses for continuity and incident management activities.
3. On an ongoing basis, provide guidance to State, local, and tribal governments on continuity priorities and implementation guidelines.
4. On an ongoing basis, provide guidance to private sector entities and operators of Critical Infrastructure and Key Resources on continuity priorities and implementation guidelines.
5. Not less than quarterly, conduct assessments of continuity communications capabilities in consultation with an official designated by the Governor.
6. Establish a familiarization briefing on SMEF and SPMEF identification for department and agency Continuity Coordinators.
7. In coordination with the CPCC, issue a State Continuity Directive on Continuity Requirements, to include the formalized process for departments and agencies to identify SMEFs, and revise through as needed Directives thereafter.
8. In coordination with the CPCC, issue a State Continuity Directive on the formalized process for department and agency submission of potential SPMEFs that are consistent and supportive of the SEFs.
  - a. Include a standardized checklist to allow departments and agencies to assess their SPMEFs through a risk management process;
  - b. Include guidance on how the SPMEF link to/supports SNEF(s); and
  - c. Include guidance on impact statements if a specific SPMEF is not conducted.
9. After submission of department and agency SMEFs and potential SPMEFs, compile submissions and provide them to the CPCC for review and validation.
10. Annually update training courses for department and agency continuity planners on the identification and development of SPMEFs and SMEFs, in addition to maintaining ongoing continuity training courses.
11. After receipt of technical requirements from the Chief Information Officer (CIO) produce an implementation plan for a comprehensive Continuity Communications Architecture (CCA).
12. Develop, implement, and begin maintenance of a comprehensive CCA.
13. On an annual basis, develop, lead, and conduct an integrated (COOP and COG) continuity training exercise, incorporated into the State Exercise Program, and report the results to the CPCC.
14. On an as needed basis, revise and promulgate integrated continuity planning guidance to non-State Governments and others as appropriate.
15. On an as needed basis, provide cyber security assistance and support in accordance with HSPD-7 and the Strategy to Secure Cyberspace.
16. Develop regional and state level Continuity Working Groups to, at a minimum, conduct annual continuity conferences to address joint State and non-State Government continuity planning and other elements of a viable continuity program.

## **Continuity Coordinators**

The *Plan* requires Tier 1 and Tier 2 department and agency heads to appoint a senior accountable official to be the agency or department's Continuity Coordinator responsible for working with the organization to ensure the organization's continuity capability. The designated Continuity Coordinator must be delegated both the responsibility and authority to plan, direct and test the agency's continuity capability. The Continuity Coordinator is responsible to work with their department or agency head to complete the SMEF and SPMEF identification process articulated in this document and any subsequent guidance.

## **Continuity Managers**

Under the direction of each department or agency head, Continuity Managers manage day-to-day continuity programs and represent their department or agency on working groups as appropriate. A Continuity Manager, who coordinates with the CPCC through the Continuity Coordinator, leads the continuity program of each department or agency.

## Chapter 3: Continuity Readiness Procedures and Metrics

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**GOAL 3: To ensure continuity readiness procedures and metrics.**

### INTRODUCTION

Development of an effective continuity program begins with a review and identification of all of an organization's responsibilities and functions as they relate to the four key continuity pillars. Once Essential Functions are prioritized and resourced, a process must be used to ensure that the functions can be sustained under an all-hazards threat environment.

**OBJECTIVE 3A – To establish a Continuity Program Management Cycle.**

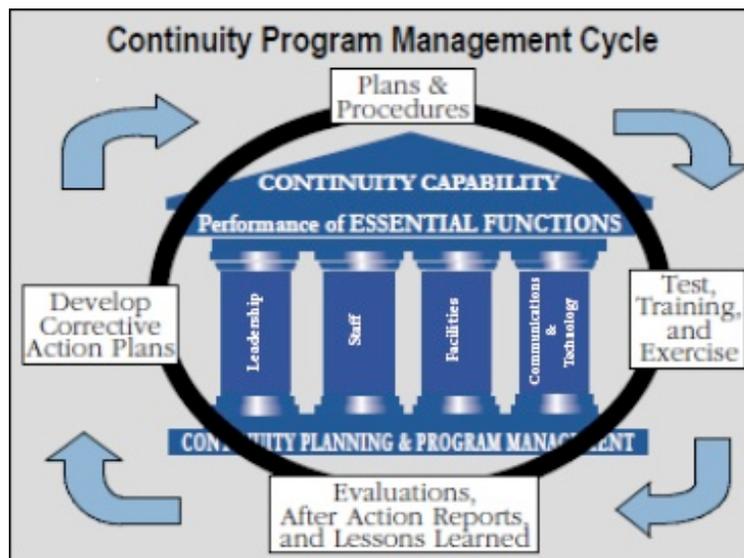


Figure 13

A standardized Continuity Program Management Cycle ensures consistency across all government continuity plans and establishes consistent performance metrics, prioritizes implementation plans, promulgates best practices, and facilitates consistent cross-agency continuity evaluations. A cyclical model of planning, training, evaluating, and implementing corrective actions provides key leaders and essential personnel the baseline information, awareness, and experience necessary to fulfill their continuity program management responsibilities. Objective evaluations and assessments, developed from tests and exercises, provide feedback on continuity planning, procedures, and training. This feedback supports a corrective action process, which helps to establish priorities, informs budget decision-making, and drives improvements in plans and procedures. The Continuity Program Management Cycle is the process all organizations should use in developing and implementing their continuity program.

**OBJECTIVE 3B – To establish continuity requirements and metrics.**

## KEY CONSIDERATIONS

### Plans and Procedures

Departments and agencies shall develop and maintain continuity plans and procedures that, when implemented, provide for continued performance of their SMEFs, as required, continued performance of their SPMEFs under all circumstances, and integration with other governmental and non-governmental organizations as appropriate. Each individual department or agency program should be tailored to its respective organization. The continuity plan must do the following:

- Identify SMEFs and SPMEFs as described in Chapter 2.
- Establish orders of succession and preplanned delegation and devolution of authorities that ensure an orderly, and pre-defined, transition of leadership and delegation of authority within a department or agency through any emergency for the agency head and supporting key positions. Succession orders and delegations of authority must be planned and documented in advance in accordance with applicable laws to ensure the performance of the department or agency's SMEFs and SPMEFs.
- Identify and establish procedures to ensure vital resources, facilities, and records are safeguarded, available, and accessible to support continuity operations. Vital resources should include personnel, equipment, systems, infrastructures, supplies, and other assets required to perform the department or agency's SMEFs and SPMEFs.
- Identify provisions for the acquisition of necessary resources for continuity of operations on an emergency basis.
- Identify and provide for the availability and redundancy of critical communications and technology capabilities at primary sites, alternate sites, and in transit in order to ensure the performance of department and agency SMEFs and SPMEFs, and support connectivity between and among key government leadership, internal elements, other departments and agencies, critical partners, and the public. Tier 1 and Tier 2 departments and agencies shall coordinate with the Homeland Security Director and the Chief Information Officer to obtain and operate secure, integrated, Continuity of Government communications.
- Provide for the ability to recover or reconstitute from the effects of an emergency and return to a fully operational condition. Departments and agencies shall conduct the coordination and planning necessary to return to normal operations.
- Identify the components, processes, and requirements for the identification, training, and preparedness of personnel capable of relocating to alternate facilities to support the continuation of the performance of SMEFs and SPMEFs.
- Identify the components, processes, and requirements that ensure the continued performance of the department or agency's SMEFs and SPMEFs.
- Establish alert and notification procedures to include the process for monitoring the Homeland Security Advisory System, intelligence, and other advisory information. Establish

internal procedures for executing changes to the Continuity of Government Readiness Conditions or other Regional, State, tribal or private continuity preparedness or activation direction. Provide for the process of reporting continuity readiness and activation status.

Budgeting for continuity capabilities is one of the most important components of continuity planning. Departments and agencies need to formulate and prioritize budget requests after application of the continuity requirements listed in NSPD-51/HSPD-20. Appendix F also includes metrics to be used to measure ability to meet the continuity requirements.

Continuity requirements for departments and agencies shall include the following:

- The continuation of the performance of SPMEFs during any emergency must be for a period up to 30 days or until normal operations can be resumed, and the capability to be fully operational at alternate sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after COOP activation;
- Succession orders and pre-planned devolution of authorities that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law;
- Vital resources, facilities, and records must be safeguarded, and official access to them must be provided;
- Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis;
- Provision must be made for the availability and redundancy of critical communications and technology capabilities at alternate sites in order to support connectivity between and among key government leadership, internal elements, other departments and agencies, critical partners, and the public;
- Provision must be made for reconstitution capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations; and
- Provision must be made for the identification, training, and preparedness of personnel capable of relocating to alternate facilities to support the continuation of the performance of SPMEFs.

Box 5

## **Test, Training, and Exercise (TT&E)**

An effective TT&E program is necessary to assist departments and agencies to prepare and validate their organization's capabilities and program and state government's ability to perform SMEFs and SPMEFs during any emergency. This requires the identification, training, and preparedness of personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of department and agency essential functions.

Training provides the skills and familiarizes leadership and staff with the procedures and tasks they must perform in executing continuity plans. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities used to respond to and recover from an emergency situation and identify issues for a subsequent improvement. All agencies must plan, conduct, and document periodic tests, training, and exercises to prepare for all-hazards continuity emergencies and disasters, identify deficiencies, and demonstrate the viability of their continuity plans and programs. Deficiencies, actions to correct them, and a timeline for remedy must be documented in an organization's Corrective Action Program (CAP) (described below).

The SCC, in coordination with the CPCC, shall develop State Continuity Directives that identify specific TT&E requirements, including required continuity training, types and frequency of exercises, and assessment criteria to ensure departments and agencies develop and maintain a robust TT&E program. TT&E programs will seek to accomplish the following goals:

- Communicate objectives, expectations, and the definition of success for all phases of continuity operations;
- Improve accountability for coordinating and de-conflicting continuity requirements across departments and agencies, across levels of government, and with the private sector;
- Establish a framework of performance criteria to measure and evaluate progress and achievement of continuity requirements within each department and agency and across departments and agencies;
- Include annual continuity training and assessment requirements and development of procedures for identifying best practices and corrective action;
- Test the viability of communications systems;
- Include continuity exercises, which are incorporated into the State Exercise Program;
- Include development of continuity alert and notification procedures and tests, and integrate these into continuity training and exercise activities; and
- Provide input into development of corrective action plans.

## **Evaluations and Assessments**

Evaluations and assessments provide critical feedback on how well TT&E programs are preparing leadership, staff, and organizations to meet their continuity requirements. At a minimum, all organizations should conduct and document annual assessments of their continuity TT&E programs and continuity plans and programs. The SCC will disseminate State Continuity Directives with

detailed procedures for evaluations and assessments. Additionally, the SCC, in coordination with the other State departments and agencies, will conduct an annual, integrated, interagency continuity exercise to test the State Government's ability to conduct its continuity programs, and shall prepare a consolidated assessment report on the continuity status of State Government for the SCC.

### **Corrective Action Program (CAP)**

Each department and agency shall develop a CAP to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E, assessments, and emergency operations. The purpose of CAP is to accomplish the following:

- Identify continuity deficiencies and other areas requiring improvement and provide responsibilities and a timeline for corrective action;
- Identify program and other continuity funding requirements for submission to department and agency leadership and OSF;
- Identify and incorporate efficient acquisition processes, and where appropriate, collect all interagency requirements into one action; and
- Identify continuity personnel requirements for department and agency leadership and their supporting Office of Personnel Management (OPM).

The SCC will integrate areas requiring corrective action that affect multiple departments and agencies into the CAP established by HSPD-8. Specific guidance and requirements for the department and agency CAP shall be addressed in State Continuity Directives.

### **OBJECTIVE 3C – To establish roles, responsibilities, and actions for continuity officials.**

## **ROLES, RESPONSIBILITIES, AND ACTIONS**

### **Heads of State Departments and Agencies**

Heads of State departments and agencies are responsible for integrating continuity planning as a fundamental part of everything that they do. One of the primary goals of continuity planning is to ensure that departments and agencies are able to perform their State Primary Mission Essential Functions—which support the continuing performance of State Essential Functions—under all conditions, with and without warning. Department and agency heads will appoint a senior accountable official, at the assistant commissioner or equivalent level, as the Continuity Coordinator for the department or agency. The individual named as the Continuity Coordinator must be given both the responsibility and authority to develop, train and test agency plans. Departments and agencies will emphasize geographic dispersion of leadership, staff, and infrastructure, as appropriate, in order to increase survivability and maintain uninterrupted State Government Functions. Departments and agencies will be able to execute continuity plans and will comply with the requirements and assigned responsibilities under the COGCON program.

Department and agency heads will identify and submit to the SCC through the CPCC their respective SMEFs and potential SPMEFs that support SEFs. In consultation with the SCC, heads of

departments and agencies are responsible for the periodic review and revision of their SPMEFs and SMEFs. During development of SPMEFs, departments and agencies will coordinate and integrate with State and non-State Government organizations; Federal, local, and tribal governments; and private sector entities on those relevant activities essential to SPMEFs and SMEFs. The heads of departments and agencies must ensure that their key leaders and support staff are provided annual familiarization training on SPMEFs and SMEFs. Heads of departments and agencies are responsible for participating in the State Government continuity test, training, exercise, and assessment programs, which shall be incorporated into the State Exercise Program. Testing should ensure viability of communications systems.

### **Actions for the Heads of Tier 1 and Tier 2 Departments and Agencies**

1. On an ongoing basis, ensure performance of department or agency State Primary Mission Essential Functions.
2. On an ongoing basis, incorporate continuity requirements into daily department and agency operations.
3. On an ongoing basis, ensure the department or agency has continuity plans for dealing with a state or localized emergency situation and ensuring the continued performance of all SPMEFs in support of the SEFs, as well as continued performance of SMEFs and other essential functions.
4. Appoint a senior accountable official as the Continuity Coordinator for the department or agency.
5. Submit a report to the SCC and CPCC certifying that the department or agency has a continuity capability plan that includes, at minimum, the following scenarios: 1) Three-day ice storm; 2) 40% reduction of staff for two weeks; 3) Loss of facility; 4) Loss of technical infrastructure.
6. On an ongoing basis, plan, program, and budget for secure continuity communications capabilities.
7. Within 90 days after the CPCC guidance, review and revise SMEFs and identify and submit potential SPMEFs.
8. Within 30 days after validation of department and agency SPMEFs and annually thereafter, ensure key leaders and support staff are provided familiarization training of department or agency SPMEFs and SMEFs.
9. Within 180 days after validation of department and agency SPMEFs, ensure SPMEF and SMEF interdependencies are coordinated internally, at the interagency level, and with private sector partners.
10. On an ongoing basis, incorporate OSF guidance when developing continuity budgets.
11. As required, submit Continuity Readiness Reports, and other reports as requested.

## **Director of the Office of State Finance**

The Director of the Office of State Finance (OSF) reviews all funding requests for continuity activities and evaluates department and agency performance in executing continuity budgets. The Director, in coordination with the SCC, issues guidance to assist departments and agencies with continuity budget submissions.

### **Actions for the Director of the Office of State Finance (OSF)**

1. As necessary, in coordination with the SCC, issue continuity planning guidance for the development of continuity budget requests.
2. Annually conduct an assessment of department and agency continuity funding requests and performance data that are submitted by departments and agencies as part of the annual budget request process in order to monitor progress in the execution of this Plan and continuity budgets.
3. Annually reconcile department and agency continuity funding requests and performance data with Continuity Readiness Reporting and annual continuity assessments compiled by the State Continuity Coordinator.

## **Chief Information Officer**

The State Chief Information Officer (CIO) defines and issues minimum requirements for continuity communications and technology recovery for executive departments and agencies in consultation with the Oklahoma Office of Homeland Security (OKOHS), Oklahoma Department of Emergency Management (OEM), and the Office of State Finance (OSF). The CIO establishes requirements for, and monitors the development, implementation, and maintenance of a comprehensive Continuity Communications Architecture to integrate continuity components in consultation with OKOHS, OEM, and OSF. In order to support those tasks and to aid in ensuring the success of the Continuity Communications Architecture, the CIO will establish and chair a Continuity Communications Architecture Board (CCAB). The CIO also reviews quarterly and annual assessments of continuity communications capabilities and reports the results and recommended remedial actions to the SCC.

### **Actions for the Chief Information Officer**

1. Annually review and revise as required, minimum requirements for continuity communications and technology recovery for State departments and agencies, in consultation with the Oklahoma Office of Homeland Security (OKOHS), Oklahoma Department of Emergency Management (OEM), and the Office of State Finance (OSF).
2. Establish and chair a Continuity Communications Architecture Board (CCAB).
3. After validation of SPMEFs, distribute requirements for, and update as needed, a comprehensive Continuity Communications Architecture (CCA) in consultation with the Oklahoma Office of Homeland Security (OKOHS), Oklahoma Department of Emergency Management (OEM), and the Office of State Finance (OSF).
4. On an ongoing basis, monitor the development, implementation, and maintenance of a CCA to integrate continuity components, in consultation with the Oklahoma Office of Homeland

Security (OKOHS), Oklahoma Department of Emergency Management (OEM), and the Office of State Finance (OSF).

5. Quarterly and annually, review assessments of continuity communications capabilities and technology recovery and report the results and recommended remedial actions to the SCC.

## **Director of the Department of Emergency Management**

The Oklahoma Department of Emergency Management (OEM) performs a significant role in assisting departments and agencies with communications systems and other support assets. The Director of Emergency Management, in coordination with the Homeland Security Director is responsible for providing secure, integrated, Continuity of Government communications to the Governor, and, at a minimum, Tier 1 departments and agencies. These communications shall be an integral component of the Continuity Communications Architecture. OEM will assist OKOHS in conducting continuity training and exercises and in providing continuity of operations assistance during emergencies and disasters.

### **Actions for the Director of Emergency Management**

1. Within 60 days after the publication by the CIO of the Continuity Communications Architecture implementation plan, identify the secure, integrated Continuity of Government communications for use by the Governor, and, at a minimum, Tier 1 departments and agencies.
2. Upon identification and implementation, continuously maintain the secure, integrated, Continuity of Government communications for the Governor, and, at a minimum, Tier 1 departments and agencies.
3. Not less than quarterly, assist the Director of Homeland Security, and an official designated by the SCC, with assessments of continuity communications capabilities.
4. On an ongoing basis, assist OKOHS in conducting continuity training and exercises and in providing assistance during emergencies and disasters.
5. On an ongoing basis, ensure that the Emergency Operations Center (EOC) maintains 24-hour operations to ensure appropriate procedures for emergency operations.

## **Director of Homeland Security**

The Director of Homeland Security is responsible for coordinating the implementation, execution, and assessment of continuity activities and programs. In coordination with the CPCC, OKOHS will develop and promulgate State Continuity Directives that establish continuity planning requirements, including continuity plan templates to assist departments and agencies and others in developing internal continuity processes and procedures, IT&E programs, and assessment criteria for executive departments and agencies.

In accordance with State Continuity Directives, OKOHS will conduct biennial assessments of individual department and agency continuity capabilities and report the results to the SCC.

OKOHS will operate, and maintain a continuity Readiness Reporting System (RRS) which will measure and report both the individual and aggregate ability of departments and agencies to

continue their SPMEFs in support of the required SEFs. This system identifies near real-time COOP and COG programmatic capabilities and requires monthly or as required data input from system users.

### **Actions for the Director of Homeland Security**

1. Coordinate with the SCC, OEM and OSF in developing a continuity assessment tool for the departments and agencies to measure continuity readiness against requirements contained in NSPD-51/HSPD-20.
2. Every two years, conduct department and agency assessments of continuity capabilities and report the results to the SCC.
3. On an ongoing basis, coordinate with the private sector to integrate critical infrastructure/key resources into the continuity planning process.
4. On an as needed basis in consultation with the SCC and CPCC, integrate State Continuity Directives into continuity planning requirements, continuity plan templates, TT&E programs, and assessment criteria.
5. Annually incorporate continuity communications needs into the Statewide Communications Interoperability Plan.

### **Director of the Office of Personnel Management (OPM)**

The Director of OPM will provide guidance to departments and agencies on developing personnel policies that address continuity plans and procedures, including alternate work options. The Director, in coordination with the State Continuity Coordinator, will provide guidance to assist in facilitating planning meetings and exercises to develop effective continuity programs among participating departments and agencies and, where appropriate, non-State Government entities, including respective Federal, local, and tribal governments and private sector owners and operators of critical infrastructure in their planning and preparedness activities.

The Director of OPM, in coordination with the SCC, will consider creation of an occupational specialty for continuity and an associated training program to acknowledge the emerging, critical importance of continuity knowledge, skills, and abilities to achieve a continuity capability in today's environment.

### **Actions for the Director of the Office of Personnel Management**

1. Develop and provide personnel guidance to support continuity plans and programs.
2. Establish telework guidance to support department and agency continuity programs.
3. In coordination with the State Continuity Coordinator, provide guidance to assist in facilitating planning meetings and exercises to develop effective continuity programs.
4. On an ongoing basis, assist OKOHS in conducting continuity training, exercises, assessments, and other preparedness activities.

5. Submit a report to the SCC on the possibility of creating an occupational specialty for continuity and an associated training program, and, if approved, work with the SCC to include the information in a State Continuity Directive.

### **Director of the Department of Central Services**

The Director of the Department of Central Services (DCS) will coordinate the provision of State Government facilities to support continuity operations and maintain the database for all department and agency alternate facilities. In order to help facilitate a coordinated and seamless State Government continuity infrastructure, DCS shall provide and maintain a centralized procurement function for all department and agency continuity infrastructure requirements. DCS shall also assist OKOHS in conducting continuity training and other preparedness activities and assist OEM and the departments and agencies in their recovery and reconstitution during and in the aftermath of emergencies and disasters.

### **Actions for the Director of the Department of Central Services**

1. On an ongoing basis, coordinate the provision of State Government facilities to support continuity operations and maintain the database for all department and agency alternate facilities.
2. On an ongoing basis, facilitate a coordinated and seamless State Government continuity infrastructure and provide and maintain a centralized procurement system for all department and agency continuity infrastructure requirements.
3. On an ongoing basis, assist the Director of Homeland Security in conducting continuity tests, training, exercises, assessments, and other preparedness activities.
4. During and in the aftermath of emergencies and disasters, assist the Director of Emergency Management and affected departments and agencies in their recovery and reconstitution.

## Chapter 4: Coordination, Communication, and Integration

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### GOAL 4: To promote interoperability.

#### INTRODUCTION

This *Implementation Plan* provides direction to State Government departments and agencies. However, the continuation of our constitutional form of government, the continuation of our State Essential Functions, and the resumption or continuation of functions to support the public are also critically dependent on the effective functioning of all three branches (legislative, executive, and judicial) of the State Government; the local and tribal government structures; and key private sector entities.

This chapter explains how the continuity concepts discussed throughout the *Implementation Plan* are relevant to those key partners and suggests implementation measures that should be taken to ensure that essential services are continued; law and order is maintained; and the principles of our Constitution are preserved. The concepts of sustained leadership, available key emergency personnel, interoperable communications, viable operating locations, and a focus on continuing essential functions involves all levels of the government and key private sector entities.

The chapter contains three sections addressing coordination, communication, and integration:

- Chapter 4A: Among the three branches of the State Government;
- Chapter 4B: Among State, local, and tribal governments; and
- Chapter 4C: Between private sector critical infrastructure owners and operators and all levels of the government.

## **Chapter 4A: Coordination, Communication, and Integration Among the Branches of State Government**

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### **OBJECTIVE 4A – To promote interoperability among the branches of State Government**

#### **INTRODUCTION**

A cooperative effort among the legislative, executive, and judicial branches of the State Government, referred to as Enduring Constitutional Government (ECG), is essential to preserving the powers granted to the people of Oklahoma by the State Constitution. It is imperative that all three branches of the State Government are able to execute their constitutional responsibilities, maintain interoperability, and support the eight State Essential Functions (SEFs) (as discussed in Chapter 2). This is especially true during catastrophic emergencies in order to preserve our State's constitutional government and maintain the functions of the State Government.

The Legislative Branch consists of the Senate, the House of Representatives, and their respective supporting organizations. The Judicial Branch consists of the State Supreme Court, Court of Criminal Appeals, Court of Civil Appeals, District Courts, Worker's Compensation Courts, and their supporting organizations.

#### **KEY CONSIDERATIONS**

Each of the three branches of government has unique but mutually supporting powers to ensure the continuance of its respective constitutional role. By performing those constitutional roles, the legislative, executive, and judicial branches, individually and collectively, support the ability of the State Government to perform SEFs, continue ECG, and ensure that essential services are provided to Oklahoma citizens. SEFs are the foundation for all continuity programs and capabilities and represent the overarching responsibilities of the State Government to lead and sustain the State during a crisis. Sustaining the SEFs shall be the primary focus of the State Government during and in the aftermath of an emergency that adversely affects the performance of government functions.

#### **ROLES AND RESPONSIBILITIES**

Recognizing that each branch of the State Government is responsible for its own continuity programs, the appropriate senior decision-makers of all three branches are encouraged to coordinate their continuity plans where appropriate. The executive branch shall provide support to the legislative and judicial branches to ensure interoperability, inclusion in appropriate continuity plans, and allocation of national assets to maintain a functioning State Government.

This *Plan* serves as an implementation of State Government's continuity policy, and in order to support constitutional roles and responsibilities, the appropriate senior decision makers of the legislative and judicial branches are encouraged to review their prioritized goals and objectives, concept of operations, and procedures for continuity and incident management activities on a regular basis in order to accomplish the following:

- Maintain branch essential functions and supporting activities;
  - Legislative examples could include representing constituents, passing bills, communicating with the executive and judicial branches, etc.; and
  - Judicial examples could include communicating with the legislative and executive branches, hearing arguments, issuing opinions, etc.
- Perform branch essential functions and support activities during any emergency;
- Provide for capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations;
- Provide for the acquisition of resources necessary for continuity operations on an emergency basis;
- Safeguard vital resources, facilities, and records, and provide official access;
- Maintain and integrate effective, redundant, survivable continuity communications systems at daily operating sites and alternate facilities in order to support connectivity between and among key State Government leadership and the public;
- Provide for the identification, training, and preparedness of personnel capable of relocating to alternate facilities where necessary to support the continuation of the performance of branch essential and support functions; and
- Facilitate effective implementation of the provisions of the Constitution concerning succession.

## **ACTIONS AND EXPECTATIONS**

The legislative, executive, and judicial branches will continue cooperation to ensure interoperability, integration, and appropriate allocation of state assets to ensure State Government continuity. Supporting organizations will develop and execute appropriate memoranda of understandings and agreements to formalize continuity plans and procedures. The appropriate senior decision-makers of the legislative and judicial branches, through established channels with the executive branch, should continue to:

- Coordinate the implementation and execution of continuity operations and activities with the executive branch through active involvement with the CPCC;
- Maintain comprehensive continuity communications; and
- Conduct continuity tests, training, and exercise programs independently and in coordination with the executive branch.

## **Chapter 4B: Coordination, Communication, and Integration Among State, Local, and Tribal Governments**

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**OBJECTIVE 4B – To promote interoperability among State, local, and tribal governments.**

### **INTRODUCTION**

By continuing the performance of essential functions through a catastrophic emergency, the local and tribal governments support the ability of the State Government to perform SEFs, continue Enduring Constitutional Government, and ensure that essential services are provided to Oklahoma citizens. A comprehensive and integrated continuity capability will enhance the credibility of our state security posture and enable a more rapid and effective response to, and recovery from, an emergency.

### **KEY CONSIDERATIONS**

To create a seamless continuity structure, local and tribal governments should develop essential functions analogous to the SPMEFs described in Chapter 2. Identification of activities that support the essential functions enables local and tribal governments to plan for and develop effective continuity measures and programs. Redundant, interoperable communications systems will facilitate survivability and permit effective coordination during an emergency. The concept of interoperability includes not only compatible systems and frequencies among all continuity stakeholders but also lists of key contacts for local and tribal governments and State counterparts.

Development of local and tribal government continuity programs is essential to effective State continuity efforts. Rapid and effective response to, and recovery from, the domestic consequences of an attack or other incident requires continued performance of local and tribal government missions. By assuring the health, safety, and welfare needs of citizens and clients, local and tribal governments perform a critical role in support of state essential functions and services. By maintaining financial stability, local and tribal governments support the protection and stabilization of Oklahoma's economy and ensure public confidence in its financial systems. By bringing to justice perpetrators of crimes or attacks against Oklahoma or its people, property, and infrastructure, local and tribal governments maintain law and order and sustain public confidence in its governmental institutions.

To help ensure that local and tribal governments are prepared to support their essential functions, each should consider creating a "continuity readiness posture" similar to Oklahoma's Continuity of Government Readiness Conditions (COGCON) system as discussed in Chapter 2.

## **ROLES AND RESPONSIBILITIES**

The responsibility for preparing and responding to emergencies is shared by the State Government, local, and tribal governments and the private sector. All have important and interdependent roles in preparing for, responding to, and recovering from natural or manmade incidents or disasters.

### **State Government**

Close cooperation is essential among the large and varied community of local and tribal governments and with the State Government for coordinated, effective continuity programs. State departments and agencies should coordinate with local and tribal governments to ensure emergency plans and capabilities are compatible, prevent redundancies, and minimize conflicting lines of authority.

OKOHS and OEM coordinate overall domestic, state level, incident management and response procedures and is the State Government's contact for coordination with local and tribal governments for continuity programs. In coordination with the SCC and OEM, OKOHS shall provide guidance for the integration of state continuity plans and operations with local and tribal governments in order to provide for the delivery of essential services during an emergency.

The State intelligence and law enforcement agencies will share relevant and useful intelligence and law enforcement information with local and tribal governments, as appropriate, using existing processes and communications methods, such as the Oklahoma Fusion Center.

### **Local and Tribal Governments**

Local and tribal governments are encouraged to develop a robust continuity program to ensure that essential functions are performed. The initial step is to identify the essential functions and the supporting activities that are critical to continue during an emergency. Further discussion on this process is found in Chapter 2. Local and tribal governments are encouraged to establish continuity programs that facilitate the performance of essential functions during any emergency for a period of up to 30 days or longer, until normal operations can be resumed, and the capability to be fully operational at alternate sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after COOP activation.

Each local and tribal government should identify successors, put in place emergency delegations of authority, and plan for geographic dispersion of staff and infrastructure where appropriate. Safeguarding of vital resources, facilities, and records will facilitate continuity efforts. A plan to provide for the acquisition of resources serves both the local and tribal governments and the larger state continuity program. These actions will permit timely reconstitution and recovery from catastrophic emergencies and resumption of normal operations. local and tribal governments are encouraged to share intelligence and law enforcement information through established channels with the State Government where relevant and useful, especially through the Oklahoma Office of Homeland Security and the Oklahoma Fusion Center.

Availability, redundancy, and connectivity of communications between and among local and tribal governments, key State Government leadership, and the public is a critical capability necessary for

sustained operations through a crisis. Tools that can be used to help on this front include the Emergency Alert System, the Integrated Public Alert Warning System, and the National Alert Warning System.

The large and diverse universe of local and tribal governments makes it imperative that each consider the others' essential function requirements and responsibilities, communications capabilities, and needs. It is also essential that local and tribal governments utilize their existing relationships with OKOHS and consistently update all essential contact information.

Development of a strong continuity program is only the first step. Identification and training of personnel capable of relocating to alternate or other continuity facilities where necessary to support the continuation of the performance of SPMEFs and essential functions is also required. The State Government and all citizens rely immensely on officials at the local level, and this will especially be true during a local emergency situation. Local emergency response and incident command personnel will be first on the scene of a crisis, and they will have the local knowledge and relationships required to successfully resolve the crisis. When a local crisis affects the performance of a critical State Primary Mission Essential Function (SPMEF)—and therefore a SEF—the role of local government officials and personnel cannot be understated.

## **ACTIONS AND EXPECTATIONS**

### **Oklahoma Office of Homeland Security**

- In coordination with the SCC and OEM, develop and provide continuity planning guidance to local and tribal governments. Guidance should include procedures and models for development of SPMEFs, orders of succession, delegations of authority, devolution, reconstitution, establishment of alternate facilities, interoperable communications, the safeguarding of vital resources, facilities, and records, and a test, training, and exercise program that will ensure a viable continuity program;
- Provide planning guidance to local and tribal governments on development of internal Mission Essential Functions (MEFs). Guidance will be based on the requirement of continuing the performance of essential functions.
- Conduct annual continuity conferences to address joint State and local and tribal governments continuity planning and other elements of a viable continuity program;
- Provide critical infrastructure assistance in support of the State's continuity of operations plans and programs; and
- Incorporate local and tribal government communications into the Statewide Communications Interoperability Plan.

### **Local and Tribal Governments**

The State Government is dependent on local, and other governments, especially during a crisis. Local governments provide the local law enforcement, first responders, and the first line of defense

against local threats that could have national implications. The primary responsibility for initial incident response remains at the local level.

Local and tribal governments are encouraged to consider the following recommendations:

- Appoint a senior accountable official to be responsible for planning and implementation of continuity programs for the organization;
- Establish a continuity plan and program that facilitates the performance of MEFs during an emergency for a period up to 30 days or longer, until normal operations can be resumed, and the capability to be fully operational at alternate sites or other continuity locations as soon as possible after the occurrence of an emergency, but not later than 12 hours after COOP activation;
- Develop succession orders and pre-planned devolution of authorities in accordance with applicable law;
- Develop a vital resources, facilities, and records program that ensures these are safeguarded and that there is official access to them. Develop and implement training to support this program;
- Make provisions for the acquisition of the resources necessary for continuity operations on an emergency basis;
- Provide for the availability and redundancy of critical communications capabilities at alternate sites in order to support connectivity between and among key government leadership, internal elements, and other organizations, critical partners, and the public;
- Provide information to State law enforcement agencies as appropriate and using official processes and communications methods;
- Plan, program, and budget for continuity capabilities consistent with this *Implementation Plan*;
- Plan, conduct, and support annual continuity tests, training, exercises, and assessments in order to prepare and evaluate program readiness and ensure adequacy and viability of continuity plans and communications systems;
- Participate in the annual continuity conference conducted by OKOHS;
- Establish an organizational continuity working group. Counties and cities may consider designating their Emergency Management Offices to lead their respective continuity programs and working groups, with support from law enforcement, medical, fire, human services, and other organizations; and
- Develop interoperable communications capability with State, local, and tribal governments and other organizations as appropriate to support continuity and emergency response requirements and the Statewide Communications Interoperability Plan.

## **Chapter 4C: Coordination, Communication, and Integration Between Private Sector Critical Infrastructure Owners and Operators and the Government**

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**OBJECTIVE 4C – To promote interoperability between the private sector critical infrastructure owners and operators and the government.**

### **INTRODUCTION**

Private Sector Critical Infrastructure Owners and Operators have a unique and invaluable role in ensuring the performance of essential functions during a catastrophic emergency. Similar to local and tribal governments, the continued functioning of the private sector supports the ability of all levels of government to perform essential functions, continue Enduring Constitutional Government, and ensure that essential services are provided to Oklahoma citizens. Private sector operation during emergencies is critical to a rapid and effective response to and recovery from a catastrophic emergency.

### **KEY CONSIDERATIONS**

Private sector organizations should establish continuity programs that meet the general objectives of government continuity efforts and are tailored to their individual missions and circumstances. Identification of activities that support the SEFs and SPMEFs will help the private sector develop effective continuity measures and programs. Continued performance of the private sector's operations will, in certain circumstances, assure the health, safety, and welfare needs of citizens and clients, maintain financial stability, and facilitate rapid and effective response to and recovery from the domestic consequences of an attack or other incident. Redundant, interoperable communications systems are a key component of a continuity program.

### **ROLES AND RESPONSIBILITIES**

The responsibility for preparing and responding to emergencies is shared by government and the private sector. The private sector has critical roles in preparing for, responding to, and recovering from natural or manmade incidents or disasters. The large and diverse community of the private sector requires close coordination and integration with relevant government entities.

Requirements for effective private sector continuity programs track closely governmental objectives. Private sector leaders are encouraged to consider how the responsibilities outlined for governments in Chapter 4B apply to their activities. For example, private sector leaders should identify successors, put in place emergency delegations of authority, and plan for geographic dispersion of staff and infrastructure where appropriate. Both the safeguarding of vital resources, facilities, and records, and the acquisition of resources that permit continued operation will permit timely reconstitution and recovery from catastrophic emergencies and resumption of normal operations. Communications availability, redundancy and connectivity between and among key government leadership and the public are the responsibility of all entities with continuity obligations. Where appropriate,

identification and training of personnel capable of implementing continuity programs should be part of private sector operations.

## **ACTIONS AND EXPECTATIONS**

### **Oklahoma Office of Homeland Security**

- In coordination with the SCC, develop and provide continuity planning guidance for private sector critical infrastructure owners and operators. Guidance and planning for these organizations should be integrated into the State Infrastructure Protection Plan;
- Provide critical infrastructure assistance in support of the State's continuity of operations plans and programs.
- Invite the private sector to participate in government training and exercises, where appropriate.

### **Private Sector Critical Infrastructure Owners and Operators**

The State Government, in conjunction with local governments, is extremely dependent on private sector leaders, especially during a crisis. The private sector owns and operates our State's communications backbone, energy infrastructure, financial networks, and other key components of our daily lives. Citizens and government are dependent on the owners and operators who make these pillars of our lives work on a daily basis. Private sector organizations are encouraged to consider the following recommendations:

- Appoint a senior accountable official to be responsible for planning and implementation of continuity programs for the organization;
- Establish a continuity plan and program that ensures the performance of critical infrastructure essential functions and services during an emergency until normal operations can be resumed;
- Develop a vital resources, facilities, and records program that ensures these are safeguarded and that there is official access to them. Develop and implement training to support this program;
- Develop procedures for the acquisition of resources necessary for continuity operations on an emergency basis;
- Develop succession orders and preplanned devolution of authorities that ensure the emergency delegation of authority when necessary;
- Provide for the availability and redundancy of critical communications capabilities at critical infrastructure sites in order to support connectivity between and among key government and private sector leadership, internal elements, other organizations, and the public;

- Provide information to State and local law enforcement agencies as appropriate using official processes and communications methods;
- Plan, program, and budget for continuity capabilities consistent with this *Implementation Plan*;
- Plan and conduct continuity tests, training, and exercises, independently or in concert with government entities, in order to prepare and evaluate program readiness and ensure adequacy and viability of continuity plans and communications systems;
- Participate in state infrastructure protection planning and programs as identified in the State Infrastructure Protection Plan, and provide representatives, as requested by OKOHS; and
- Establish an organizational continuity working group.

## Appendix A: List of State Agency Tiers

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### Tiers of Departments and Agencies

State departments and agencies are assigned to one of the four tiers commensurate with their COOP/COG/ECG responsibilities in an emergency. These tiers shall be used for continuity planning, communications requirements, emergency operations capabilities and other related requirements.

The tier designations were based on the known functions and/or response capabilities of each agency (from the State Emergency Operations Plan). Movement of agencies between and among the tiers may occur during the COOP/COG planning processes and phases.

**Tier 1:** Have defined roles in the State Emergency Operations Plan, perform the most critical/visible government functions, and perform a function that must continue without interruption.

- These agencies would most likely have state primary mission essential functions.
- These agencies would be required to have a COOP plan during the first phase of COG.

**Tier 2:** Have defined roles in the State Emergency Operations Plan, support critical/visible/important government functions, and perform a function that can be interrupted (no more than 12 hours).

- These agencies may have state primary mission essential functions and likely perform state mission essential functions but those functions can be interrupted (no longer than 12 hours).
- These agencies would be required to have a COOP plan during the first phase of COG.

**Tier 3:** Have no defined roles in the State Emergency Operations Plan, have no primary mission essential functions, may perform mission essential functions, and perform functions that can be interrupted (no more than 48 hours).

- These agencies perform no state primary mission essential functions but may have mission essential functions that can be interrupted for no more than 48 hours.
- These agencies would be required to perform a COOP review during the second phase of COG.

**Tier 4:** Have no defined roles in the State Emergency Operations Plan, have no primary mission essential functions, likely do not perform mission essential functions, and perform functions that can be postponed for up to 30 days.

- These agencies perform no state primary mission essential functions and likely perform no mission essential functions and have functions that can be suspended for up to 30 days.
- These agencies would be expected to perform a COOP review during the third phase of COG.

## **Tier 1**

Agriculture, Food & Forestry Department (0040)  
Bureau of Investigation - OSBI (0308)  
Central Services - DCS (0580)  
Corporation Commission (0185)  
Corrections Department (0131)  
Court of Civil Appeals  
Court of Criminal Appeals (0199)  
District Courts (0219)  
Education Department (0265)  
Emergency Management (0309)  
Environmental Quality Department (0292)  
Finance, Office of State (0090)  
Governor Brad Henry (0305)  
Grand River Dam Authority (0980)  
Health Department (0340)  
Homeland Security Office  
House of Representatives (0422)  
Human Services Department - OKDHS (0830)  
Labor Department (0405)  
Medicolegal Investigations, Board of (0342)  
Military Department, Oklahoma (0025)  
Personnel Management Office (0548)  
Public Safety Department (0585)  
Secretary of State (0625)  
State Senate (0421)  
State Treasurer (0740)  
Supreme Court (0677)  
Transportation Department (0345)  
Turnpike Authority (0978)  
Workers' Compensation Court (0369)

## **Tier 2**

ABLE Commission (0030)  
Commerce Department (0160)  
Conservation Commission (0645)  
Education Oversight Board-Office of Accountability  
Fire Marshal (0310)  
Insurance Department (0385)  
Mental Health & Substance Abuse (0452)  
Narcotics & Dangerous Drugs Control (0477)  
Superintendent of Public Instruction  
Tourism & Recreation Department (0566)  
Water Resources Board (0835)  
Wildlife Conservation (0320)

### Tier 3

ABLE Tech (1337)  
Abstractors Board (0022)  
Accountancy Board (0020)  
Aeronautics Commission (0060)  
Alcohol and Drug Counselors Board (0448)  
Anatomical Board (0044)  
Architects Board (0045)  
Ardmore Higher Education Center (0606)  
Arts Council (0055)  
Attorney General (0049)  
Auditor and Inspector (0300)  
Banking Department (0065)  
Biological Survey (7600)  
Board of Tests for Alcohol and Drug Influence (0772)  
Boll Weevil Eradication (0039)  
Bond Advisor (0582)  
Building Bonds Commission (0091)  
Cameron University (0100)  
Capital Investment Board (0915)  
Capitol Improvement Authority (0105)  
Capitol-Medical Center Improvement & Zoning Commission  
Career and Technology Education (0800)  
Carl Albert State College (0108)  
Center for Advancement of Science & Technology - OCAST (0628)  
Children & Youth Commission (0127)  
Children's Behavioral Health Workforce Development Team  
Chiropractic Examiners (0145)  
Climatological Survey  
CompSource Oklahoma (0390)  
Connors State College (0165)  
Construction Industries Board (0170)  
Consumer Credit Department (0635)  
Cosmetology Board (0190)  
Criminal Justice Resource Center  
Dentistry Board (0215)  
Development Finance Authority (0900)  
Developmental Disabilities Council  
Disability Concerns (0326)  
District Attorneys Council (0220)  
East Central University (0230)  
Eastern Oklahoma State College (0240)  
Educational Television Authority (0266)  
Election Board (0270)  
Employees Benefits Council (0815)  
Employment Security Commission (0290)  
Energy Resources Board (0359)  
Environment Secretary

Environmental Finance Authority (0920)  
Ethics Commission (0296)  
Faith-Based & Community Initiatives  
Film and Music Office  
Firefighters Pension & Retirement (0315)  
Foresters, State Board of Registration for (0615)  
Funeral Board (0285)  
Geological Survey (0325)  
Health Care Authority (0807)  
Historical Society (0350)  
Horse Racing Commission (0353)  
Housing Finance Agency (0922)  
Human Rights Commission (0355)  
Indian Affairs Commission (0360)  
Indigent Defense System (0047)  
Industrial Finance Authority (0370)  
Interstate Oil Compact Commission (0307)  
J.D. McCarty Center (0670)  
J.M. Davis Memorial Commission (0204)  
Judicial Complaints, Council on (0678)  
Juvenile Affairs Office (0400)  
Land Office, Commissioners of the (0410)  
Langston University (0420)  
Law Enforcement Education & Training Council (0415)  
Law Enforcement Retirement System (0416)  
Legislative Service Bureau (0423)  
Libraries Department (0430)  
Licensed Social Workers Board (0622)  
Lieutenant Governor (0440)  
Liquefied Petroleum Gas Board (0445)  
Long Term Care Administrators Board (0509)  
Lottery Commission (0435)  
LP Gas Research, Marketing and Safety Commission (0444)  
Marginal Well Commission (0446)  
Medical Licensure and Supervision Board (0450)  
Merit Protection Commission (0298)  
Mines Department (0125)  
Motor Vehicle Commission (0475)  
Multiple Injury Trust Fund (0391)  
Municipal Power Authority (0981)  
Murray State College (0470)  
Music Hall of Fame  
Native American Cultural and Education Authority of Oklahoma (0361)  
Northeastern Oklahoma A & M College (0480)  
Northeastern State University (0485)  
Northern Oklahoma College (0490)  
Northwestern Oklahoma St. University (0505)  
Nursing, Oklahoma Board of (0510)

Oklahoma City Community College (0633)  
Optometry Board (0520)  
Osteopathic Examiners Board (0525)  
Osteopathic Medicine, College - OSU (0773)  
OSU - Experiment Station (0011)  
OSU - Extension Division (0012)  
OSU - Oklahoma State University (0010)  
OSU - Technical Branch, Oklahoma City (0015)  
OSU - Technical Branch, Okmulgee (0013)  
Panhandle State University (0530)  
Pardon and Parole Board (0306)  
Peanut Commission (0535)  
Perfusionists Board of Examiners (0343)  
Pharmacy Board (0560)  
Physical Fitness and Sports, Governor's Council on  
Physician Manpower Training Commission (0619)  
Podiatric Medical Examiners Board (0140)  
Police Pension and Retirement System (0557)  
Private Vocational Schools Board (0563)  
Professional Engineers & Land Surveyors Licensure Board (0570)  
Psychologists Examiners Board (0575)  
Public Employees Retirement System (0515)  
Quartz Mountain Arts & Conference Center & Nature Park (0620)  
Real Estate Appraiser Board  
Real Estate Commission (0588)  
Redlands Community College (0241)  
Regents for A&M Colleges (0600)  
Regents for Higher Education (0605)  
Regional University System of Oklahoma (0610)  
Rehabilitation Services (0805)  
Rogers State University (0461)  
Rose State College (0531)  
Santa Claus Commission (0621)  
Scenic Rivers Commission (0568)  
School of Science & Mathematics (0629)  
Securities Commission (0630)  
Seminole State College (0623)  
Sheep and Wool Commission (0631)  
Sorghum Commission (0038)  
SOSU - Southeastern Oklahoma St. University (0660)  
Space Industry Development Authority (0346)  
Speech-Language Pathology & Audiology Board (0632)  
State & Education Employees Group Insurance Board (0516)  
State Board of Equalization (0295)  
Student Loan Authority (0618)  
SWOSU - Southwestern Oklahoma State University (0665)  
Tax Commission (0695)  
Teacher Preparation Commission (0269)

Teachers' Retirement System (0715)  
Tobacco Settlement Endowment Trust (0092)  
Tulsa Community College (0750)  
UCO - University of Central Oklahoma (0120)  
University Center at Tulsa (0774)  
University Hospitals Authority (0825)  
University of Oklahoma - OU (0760)  
University of Oklahoma Health Sciences Center (0770)  
University of Oklahoma Law Center (0761)  
University of Science & Arts of Oklahoma (0150)  
Used Motor Vehicle and Parts Commission (0755)  
Veterans Affairs Department (0650)  
Veterinary Medical Examiners Board (0790)  
Veterinary Medicine, OSU College of (0014)  
Western Oklahoma State College (0041)  
Wheat Commission (0875)  
Will Rogers Memorial Commission (0880)

#### **Tier 4**

1921 Tulsa Race Riot Memorial of Reconciliation Design Committee  
Access to Justice Commission, Oklahoma  
Accrediting Agency, State  
Achieving Classroom Excellence (ACE) Steering Committee  
Adjutant General, State  
Adult Offender Supervision, Oklahoma State Council for Interstate  
Advanced Practice Nurse Formulary Advisory Council  
Advancement of Hispanic Students in Higher Education Task Force  
Advisory Committee and Grievance Panel  
Advisory Council  
Affirmative Action Review Council  
African-American Centennial Plaza Design Committee  
Agent Orange Outreach Committee  
Aging, Oklahoma State Council on  
Agriculture Enhancement and Diversification Advisory Board, Oklahoma  
Agriculture, State Board of  
Air Quality Advisory Council  
Alarm and Locksmith Industry Committee  
Alcohol and Drug Abuse Policy Board  
Alcohol and Drug Abuse Prevention and Life Skills Education Advisory Council, Oklahoma  
Alcohol and Drug Abuse Prevention, Training, Treatment and Rehabilitation Authority  
Alcohol and Drug Abuse, Advisory Council on  
Alcohol, Drug Abuse and Community Mental Health Planning and Coordination Boards  
Alternative Fuels Technician Examiners Hearing Board  
Alzheimer's Research Advisory Council  
AMBER Alert Committee, Oklahoma  
Appellate Indigent Defender System  
Archeological Survey, Oklahoma  
Archives and Records commission

Arkansas River Basin Compact and Commission, Kansas-Oklahoma  
Arkansas River Basin Compact Commission, Arkansas-Oklahoma  
Athletic Trainers Advisory Committee  
Banking Board, State  
Barber Advisory Board, State  
Beef Council, Oklahoma  
Bioenergy Initiative, Oklahoma  
Biofuels Development Advisory Committee, Oklahoma  
Blind Vendors, Committee of  
Board of Control for Southern Regional Education  
Board of Corrections  
Board of Investors  
Bond Oversight, Council of  
Boxing Commission, Oklahoma Professional  
Breast and Cervical Cancer Prevention and Treatment Advisory Committee, Oklahoma  
Buffalo Soldiers Centennial Plaza Design Committee  
Bureau of Narcotics and Dangerous Drugs Control Commission, Oklahoma State  
Canadian River Commission  
Capitol Complex and Centennial Commemoration Commission, Oklahoma  
Capitol Preservation Commission, State  
Carbon Sequestration Advisory Committee  
Central Interstate Low-Level Radioactive Waste Compact Commission  
Cerebral Palsy Commission  
Certified Public Manager Advisory Board  
Certified Registered Nurse Anesthetist Formulary Advisory Council  
Chief Medical Examiner, Office of  
Child Abuse Examination, Board of  
Child Abuse Prevention Training and Coordination Council  
Child Abuse Prevention, Office of  
Child Death Review Board  
Childhood Lead Poisoning Prevention Advisory Committee  
Cigarette and Tobacco Tax Advisory Committee  
Citizens Advisory Committee  
College and University Boards of Regents and Trustees  
Commodity Commissions and entities (Peanut, Pecan Marketing Board, Sheep and Wool, Sorghum and Wheat)  
Common Schools Capital Improvement Needs Assessment Committee  
Community Hospitals Authority  
Community Service Commission, Oklahoma  
Community Social Services Center Authority  
Compensation and Unclassified Positions Review Board, Oklahoma  
Compliance Advisory Panel  
CompSource Oklahoma, Board of Managers of  
Concentrated Animal Feeding Operations Act Rule Advisory Committee, Oklahoma  
Consumer Advocacy, Office of  
Contingency Review Board  
Cord Blood Donations, Advisory Council on  
County Fair Enhancement Program, Oklahoma

County Government Personnel Education and Training, Commission on  
Crime Victims Compensation Board  
Dietetic Registration, Advisory Committee on  
Domestic Violence and Sexual Assault Advisory Council  
Domestic Violence Fatality Review Board  
Driver License Compact  
Driver's License Medical Advisory Committee  
Early Childhood Intervention, Interagency Coordinating Council for  
EDGE Fund Policy Board  
Education Commission of the States  
Educational Professional Standards Board  
Electrical Examiners, Committee of  
Electrical Hearing Board  
Electronic and Information Technology Accessibility Advisory Council  
Electronic Commerce, Task force on  
Embalmers and Funeral Directors, Oklahoma State Board of  
Emergency Management Advisory Council  
Emergency Response Systems Development Advisory Council  
Employee Assistance Program, State  
Employee Child Daycare Advisory Committee, State  
Employment Board of Review  
Employment State Advisory Council  
Environmental Quality Board  
Experimental Program to Stimulate Competitive Research Advisory Committee (Epscor)  
Farm to School Program, Oklahoma  
Film and Music Advisory Commission  
Fire Ant Research and Management Advisory Committee  
Food Service Advisory Council  
Formulary Advisory Council  
Genetic Counseling Advisory Committee  
Geographer, State  
Geographic Information Council, State  
Governor's Advisory Committee on Employment of People with Disabilities  
Governor's Advisory Council on Asian-American Affairs  
Governor's Advisory Council on Latin American and Hispanic Affairs  
Governor's Commission for Oklahoma Artisans  
Governor's Committee on Homeland Security Funding  
Governor's Ethnic American Advisory Council  
Governor's Executive Panel on Security and Preparedness  
Governor's Interagency Council on Homelessness  
Governor's Oklahoma United We Ride Council  
Governor's Transformation Advisory Board  
Grand River Dam Authority Board of Directors  
Greenwood Area Redevelopment Authority  
Group Homes for Persons with Developmental or Physical Disabilities Advisory Board  
Handicapped Concerns, Advisory Committee on  
Handicapped Concerns, Office of  
Hazardous Materials Emergency Response Commission

Hazardous Waste Management Advisory Council  
Health Care Information Advisory Committee  
Health Care Study Commission  
Health Care Workforce Resources Board  
Health, State Board of  
Hearing Aid Advisory Council  
Highway Construction Materials Technician Certification Board  
Highway Safety Coordinating Committee  
Highway Safety Office  
Historic Preservation Review Committee, Oklahoma  
Historical Records Advisory Board  
Home Health Advisory Board  
Home Inspector Examiners, Committee of  
Hospice Advisory Board  
Hospital Advisory Council, Oklahoma  
Human Services, Commission for  
Humanities Council, Oklahoma  
Incentive Awards for State Employees, Committee for  
Incentive Review Committee  
Industry Advisory Committee  
Institute of Technology, Oklahoma  
Insurance Commissioner  
Intergovernmental Relations, Advisory Committee on  
Internet Applications Review Board, State Governmental  
Jazz Hall of Fame Board, Oklahoma  
Judicial Compensation, Board on  
Judicial Nominating Commission  
Juvenile Justice, State Advisory Group on  
Labor Commissioner  
Laboratory Services Advisory Council  
Law Enforcement Retirement Board, Oklahoma  
Lead-Impacted Communities Relocation Assistance Trust  
Legislative Compensation, Board on  
Libraries Board, Department of  
Licensed Architects, Landscape Architects and Interior Designers of Oklahoma, Board of  
Governors of  
Licensed Behavioral Practitioners Advisory Board, Oklahoma  
Licensed Marital and Family Therapist Advisory Board, Oklahoma  
Licensed Professional Counselors Advisory Board, Oklahoma  
Life and Health Insurance Guaranty Association, Oklahoma Board of Directors  
Linked Deposit Review Board  
Long-Range Capital Planning Commission  
Long-Term Care Administrators, Oklahoma State Board of Examiners for  
Long-Term Care Facility Advisory Board  
Lottery Commission, Board of Trustees of Oklahoma  
LPG Research, Marketing and Safety Commission, Oklahoma  
Manufactured Home Advisory Committee  
Mechanical Examiners, Committee of

Mechanical Hearing Board  
Medical Care for Public Assistance Recipients, Advisory Committee for  
Medical Direction Subcommittee  
Medical Micropigmentation Advisory Council  
Mental Health Advisory Committee on Deafness and Hearing Impairment  
Mental Health and Substance Abuse, Board of  
Mental Health, Interstate Compact on  
Mentor Selection Advisory Committee  
Midwestern Oklahoma Development Authority  
Miner Training Institute, Oklahoma  
Mining Commission, Interstate  
Mining Commission, Oklahoma  
Minority Teacher Recruitment Advisory Committee  
Mortgage Broker Advisory Committee  
Municipal Clerks and Treasurers Division of the Oklahoma Career and Technology  
Education, Advisory Committee to the  
Municipal Power Authority Board, Oklahoma  
Music Hall of Fame Board, Oklahoma  
National Conference of Commissioners on Uniform State Laws  
National Crime Prevention and Privacy Compact Council  
Northeast Oklahoma Public Facilities Authority  
Occupational Therapy Advisory Committee, Oklahoma  
Office for Minority and Disadvantaged Business Enterprises  
Oklahoma College Savings Plan  
Oklahoma Health Research Committee  
Oklahoma Homefront Task Force  
Oklahoma State University Medical Authority  
Ordinance Works Authority, Oklahoma  
Organ Donor Education and Awareness Program Advisory Council, Oklahoma  
Oversight Committee for State Employee Charitable Contributions  
Partnership for Children's Behavioral Health  
Partnership for School Readiness Board, Oklahoma  
Pension Commission, Oklahoma State  
Pest Control Compact  
Physical Therapy Committee  
Physician Advisory Committee  
Physician's Assistant Advisory Committee  
Placement of Children, Interstate Compact on the  
Plumbing Examiners, Oklahoma State Committee of  
Plumbing Hearing Board, Oklahoma State  
Police Pension and Retirement Board, Oklahoma  
Polygraph Examiners Board  
Port Authorities  
Post Adjudication Review Advisory Board  
Post-Secondary Oversight Council  
Poultry Feeding Operations Act Rule Advisory Committee, Oklahoma Registered  
Prevention of Adolescent Pregnancy and Sexually Transmitted Diseases, Interagency  
Coordinating Council for Coordination of

Professional Responsibility Tribunal  
Property and Casualty Insurance Guaranty Association, Oklahoma  
Public Employees Relations Board  
Public Employees Retirement Board  
Public Guardian, Office of  
Quartz Mountain Arts & Conference Center & Nature Park, Board of Trustees  
Radiation Management Advisory Committee  
Red River Boundary Compact, Oklahoma-Texas  
Red River Compact and Commission, Arkansas-Louisiana-Oklahoma-Texas  
Register of Natural Heritage Areas, State  
Registered Electrologists, Advisory Committee of  
Residents and Family State Council  
Respiratory Care Advisory Committee  
Rural Action Partnership Program  
Rural Area Development Task Force  
Sam Noble Museum of Natural History, Oklahoma  
Sanitarian and Environmental Specialist Registration Advisory Council  
Savings and Loan Advisory Council  
School and County Funds Management, Commission on  
School of Science & Mathematics, Oklahoma Board of Trustees of  
Science and Technology Council  
Science and Technology Research and Development Board, Oklahoma  
Sentencing Commission, Oklahoma  
Services to Mentally Ill Homeless Persons, Interagency Council for  
Sheriff's Personnel Task Force  
Sick Leave Review Board  
Small Business Regulatory Review Committee  
Solid Waste Management Advisory Council  
South Central Interstate Forest Fire Protection Compact and Advisory Committee  
Southern Dairy Compact  
Southern Growth Policies Board  
Southern Regional Educational Compact  
Southern States Energy Board  
Southern States Energy Compact  
Special Agency Account Board  
Standards, Bureau of  
State Credit Union Board, Oklahoma  
State-Tribal Relations, Joint Committee on  
Statewide Independent Living Council (SILC)  
Statewide Nine-One-One Advisory Board  
Status of Women, Oklahoma Commission on the  
Storage Tank Advisory Council  
Strategic Military Planning Commission, Oklahoma  
Strategic Planning Committee on the Olmstead Decision  
Streamlined Sales and Use Tax Agreement Committee  
Student Tracking and Reporting (STAR) Coordinating Committee  
Sub-State Planning Districts  
Teachers' Retirement System, Board of Trustees of the

Textbook Committee, State  
Tobacco Settlement Endowment Trust Fund Board of Directors  
Tobacco Settlement Endowment Trust Fund Board of Investors  
Tobacco Use Prevention and Cessation Advisory Committee  
Tourism and Recreation Commission, Oklahoma  
Tourism Promotion Advisory Committee, Oklahoma  
Tourism Signage Advisory Task Force, Oklahoma  
Transportation Commission  
Transportation County Advisory Board, Department of  
Transportation Tribal Advisory Board, Department of  
Trauma Systems Improvement and Development Advisory Council, Oklahoma  
Traumatic Spinal Cord and Traumatic Brain Injury, Advisory Council on  
Trucking Advisory Board, Oklahoma  
Use Committee, State  
Vision Screening Advisory Committee for Children  
Vocational Education, State Council on  
War on Terror Memorial Design Committee  
War Veterans Commission  
Water Quality Management Advisory Council  
Water Research Institute, Oklahoma  
Waterways Advisory Board  
Waterworks and Wastewater Works Advisory Council  
Wildlife Conservation Commission  
Workers' Compensation, Advisory Council on  
Workforce Investment Board, State's  
Youth Suicide Prevention Council

## Appendix B: Glossary

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For the purposes of the *State Continuity Implementation Plan*:

### Acronyms:

BIA	Business Impact Analysis
BPA	Business Process Analysis
CAG	Continuity Advisory Group
CAP	Corrective Action Program System
CCA	Continuity Communications Architecture
CCAB	Continuity Communication Architecture Board
CI/KR	Critical Infrastructure and Key Resources
CIO	Chief Information Officer
COG	Continuity of Government
COGCON	Continuity of Government Readiness Conditions
COOP	Continuity of Operations
CPCC	Continuity Policy Coordination Committee
CWG	Continuity Working Group
DCS	Department of Central Services
DEFCON	Defense Readiness Conditions
DHS	Department of Homeland Security
EAS	Emergency Alert System
ECG	Enduring Constitutional Government
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ESF	Emergency Support Function

FEMA	Federal Emergency Management Agency
GSA	General Services Administration
HSAS	Homeland Security Advisory System
HSC	White House Homeland Security Council
HSEEP	Homeland Security Exercise and Evaluation Program
HSIN	Homeland Security Information Network
HSPD	Homeland Security Presidential Directive
IMPT	Department of Homeland Security Incident Management Planning Team
IPAWS	Integrated Public Alert Warning System
IT	Information Technology
JFO	Joint Field Office
MEF	Mission Essential Function
NAWAS	National Alert Warning System
NCC	National Continuity Coordinator
NCCC	National Command and Coordination Capability
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Program
NOC	Department of Homeland Security National Operations Center
NRP	National Response Plan
NSPD-51/HSPD-20	National Security Presidential Directive-51 and Homeland Security Presidential Directive-20.
OEM	Oklahoma Department of Emergency Management
OKOHS	Oklahoma Office of Homeland Security
OMB	Office of Management and Budget

OPM	Office of Personnel Management
OSF	Office of State Finance
PMEF	Primary Mission Essential Function
RRS	Readiness Reporting System
SCC	State Continuity Coordinator
SCCC	State Command and Coordination Capability
SCD	State Continuity Directive
SCR	State Capital Region
SEEP	State Exercise and Evaluation Program
SEF	State Essential Functions
SEP	State Exercise Program
SMEF	State Mission Essential Functions
SPMEF	State Primary Mission Essential Functions
TT&E	Test, Training, and Exercise

## Definition of Terms:

**Alternate facilities** – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity situation.

**Biennial Continuity Assessments** – An evaluation every two years of a department or agencies cumulative, integrated Continuity Capability.

**Business Impact Analysis** – A method of identifying the effects of failing to perform a function or requirement.

**Business Process Analysis** – A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of a function or requirement.

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

**COGCON** – The Continuity of Government Readiness Condition system is a means to establish, measure, and report the readiness of executive branch continuity programs independent of other State or Federal Government readiness systems.

**Communications and Technology** – Voice, video, and information technology systems that enable leadership and staff to conduct Essential Functions. Communications and technology systems are required to facilitate coordinated, integrated policy and operational recommendations to leadership and enables coordination with State departments and agencies; local and tribal governments; and the private sector as necessary to perform Essential Functions.

**Continuity Capability** – The ability of an organization to continue performance of Essential Functions, utilizing Continuity of Operations and Continuity of Government programs and integrated, day-to-day operations with a primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Built from the foundation of continuity planning and continuity program management, the key pillars of continuity capability are Leadership, Staff, Facilities, and Communications and Technology. It is of utmost importance that both continuity of operations plans and technology recovery plans be built upon the common framework of a business impact analysis.

**Continuity Communications Architecture (CCA)** – An integrated, comprehensive, interoperable information architecture, that describes the data, systems, applications, technical standards, and underlying infrastructure required to ensure that State Government departments and agencies can execute their State Primary Mission Essential Functions and State Mission Essential Functions in support of State Essential Functions and continuity requirements under all circumstances.

**Continuity Coordinators** – Representatives of the executive branch departments and agencies at the Assistant Commissioner (or equivalent) level.

**Continuity of Government (COG)** – A coordinated effort within State Government to ensure that State Essential Functions continue to be performed during a Catastrophic Emergency.

**Continuity of Operations (COOP)** – An effort within individual executive departments and agencies to ensure that State Primary Mission Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

**Continuity Policy Coordination Committee (CPCC)** – A committee led by SCC established to comprehensively address state level continuity program coordination, integration, oversight, and management. This forum institutionalizes state security policy development, implementation, and oversight for continuity programs. The Committee serves in a continuity oversight and management role with membership consisting of one designee from each Cabinet Secretary (Adjutant General, Agriculture, Commerce and Tourism, Energy, Environment, Health, Human Resources and Administration, Human Services, Information Technology and Telecommunications, Public Safety, Science and Technology, State, Transportation, Finance and Revenue, and Veterans), one designee from the Oklahoma Office of Homeland Security, Oklahoma Department of Emergency Management, and the Office of State Finance, one designee appointed by the State Superintendent

of Public Instruction, one designee appointed by the Speaker of the House of Representatives and one designee appointed by the President Pro Tempore of the Senate. Other Committee members may be appointed at the discretion of the Governor.

**Continuity Program Management Cycle** – An ongoing, cyclical model of planning, training, evaluating, and implementing corrective actions for continuity capabilities.

**Corrective Action Program System** – The Corrective Action Program (CAP) System is a web-based application that allows Federal, State, and local emergency response and homeland security officials to track and analyze Improvement Plans. The Department of Homeland Security is developing this system as part of a larger effort to systematically translate Homeland Security Exercise and Evaluation Program (HSEEP) outputs—including findings, areas for improvement, recommendations, lessons learned, and best practices—into meaningful inputs for homeland security plans, programs, and budgets.

**Delegation of authority** – Identification, by position, of the authorities for making policy determinations and decisions at headquarters, field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed.

**Devolution of authority** – The passing of an unexercised right, devolution of authority is an essential planning requirement for departments and agencies manifested as a formal list of personnel who are pre-delegated the authority and responsibility to assume leadership of organizational elements within a department or agency with the approval of the department or agency head.

**Emergency Alert System (EAS)** – A national communications network and public warning system started in 1994 that replaced the Emergency Broadcast System jointly administered by the Federal Communications Commission, FEMA, and the National Weather Service. The System requires broadcasters, cable television systems, wireless cable systems, satellite digital audio radio service (SDARS) providers and, effective in May 2007, direct broadcast satellite (DBS) service providers to provide the communications capability to the President to address the American public during a national emergency. The system also may be used by state and local authorities to deliver important emergency information such as AMBER alerts and weather information targeted to a specific area.

**Emergency Support Function (ESF)** – A grouping of government and certain private-sector capabilities into an organizational structure to provide support, resources, and services. The EOP groups functions as follows:

- ESF #1 Transportation
- ESF #2 Communications
- ESF #3 Public Works and Engineering
- ESF #4 Firefighting
- ESF #5 Emergency Management
- ESF #6 Mass Care, Housing, and Human Services
- ESF #7 Resource Support
- ESF #8 Public Health and Medical Services
- ESF #9 Urban Search and Rescue
- ESF #10 Oil and Hazardous Materials Response

ESF #11 Agriculture and Natural Resources  
ESF #12 Energy  
ESF #13 Public Safety and Security  
ESF #14 Long-Term Community Recovery and Mitigation  
ESF #15 External Affairs

**Enduring Constitutional Government (ECG)** – A cooperative effort among the executive, legislative, and judicial branches of the State Government, coordinated by the Governor, as a matter of comity with respect to the legislative and judicial branches and with proper respect for the constitutional separation of powers among the branches, to preserve the constitutional framework under which Oklahoma is governed and the capability of all three branches of government to execute constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, and interoperability and support of the State Essential Functions during a catastrophic emergency.

**Essential Functions** – The critical activities that are performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: State Essential Functions (SEFs), State Primary Mission Essential Functions (SMEFs), and State Mission Essential Functions (SMEFs).

**Facilities** – Locations where leadership and staffs may operate. Leadership and staff may be co-located in one facility or dispersed through many locations, connected virtually through communications systems. Facilities must be able to provide survivable protection and enable continued, enduring operations.

**Government Functions** – The collective functions of the heads of executive departments and agencies as defined by statute, regulation, presidential direction, or other legal authority, and the functions of the legislative and judicial branches.

**Homeland Security Advisory System** – A series of tools used by the Department of Homeland Security to provide guidance to the public on the status of our homeland security. The system combines threat information with vulnerability assessments and communicates this information to public safety officials and the public. The System includes Homeland Security Threat Advisories, Homeland Security Information Bulletins, and the Threat Level System.

**Homeland Security Exercise and Evaluation Program (HSEEP)** – The NEP utilizes the HSEEP as the common methodology for exercises. HSEEP is a capabilities- and performancebased exercise program that provides standardized policy, doctrine, and terminology for the design, development, conduct, and evaluation of homeland security exercises. HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

**Homeland Security Information Bulletins** – Guidance for Federal, State, local, and other governments; private sector organizations; and international partners concerned with our Nation's critical infrastructures that do not meet the timeliness, specificity, or significance thresholds of warning messages. Bulletins often include statistical reports, periodic summaries, incident response or reporting guidelines, common vulnerabilities and patches, and configuration standards or tools.

**Homeland Security Information Network (HSIN)** – A communications system and IT infrastructure used by the U.S. Department of Homeland Security to transmit sensitive but unclassified information. The HSIN serves as a nationwide information-sharing and collaboration tool and is intended to offer real-time chat and instant messaging capability as well as a document library that contains reports from multiple Federal, State, and local sources. HSIN features suspicious incident information and analysis of terrorist threats, tactics, and weapons. HSIN includes over 35 communities of interest, such as emergency management, law enforcement, counterterrorism, States, and private sector communities. Each community of interest has Web pages that are tailored for the community and contain general and community-specific news articles, links, and contact information. HSIN features include a document library, a discussion thread/bulletin board capability, and a chat tool among others.

**Homeland Security Threat Advisories** – Guidance provided to Federal, State, local, and other governments; private sector organizations; and international partners with actionable information about an incident involving, or a threat targeting, critical national networks, infrastructures, or key assets. The Threat Advisories includes products formerly named alerts, advisories, and sector notifications.

**Homeland Security Threat Level System** – A color-coded system used to communicate with public safety officials and the public at-large through a threat-based, color-coded system so that protective measures can be implemented to reduce the likelihood of impact of an attack.

**Integrated Public Alert Warning System (IPAWS)** – Pursuant to Executive Order 13407, IPAWS is a comprehensive DHS/FEMA program, in partnership with NOAA, the FCC, and other public and private stakeholders, begun in 2004 to improve public alert and warning. The system will deliver digitally-based alert and warning messages to radio and television stations, personal computers, cell phones and other consumer wireless devices. The System seeks to upgrade EAS, enhance NAWAS, and begin other pilot programs, among other initiatives for current technological options.

**Joint Field Office (JFO)** – The JFO is a temporary Federal facility established locally to provide a central point for Federal, State, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. The JFO utilizes the scalable organizational structure of the NIMS in the context of both pre-incident and post-incident management activities. The JFO organization adapts to the magnitude and complexity of the situation at hand, and incorporates the NIMS principles regarding span of control and organizational structure by utilizing the Operations, Planning, Logistics, and Finance/Administration Sections. Although the JFO uses an ICS structure, the JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site. When incidents impact multiple States or localities, multiple JFOs may be established. In these situations, one of the JFOs may be identified (typically in the most heavily impacted area) to serve as the primary JFO and provide strategic leadership and coordination for the overall incident management effort, as designated by the Secretary of Homeland Security.

**Leadership** – The senior decision-makers designated to head an organization (e.g., President, Cabinet Secretary, Governor, Chief Executive Officer, or manager). Ensuring survivable leadership is accomplished by physically protecting the person (sheltering in place or relocating away from the

threat), as well as having a prioritized list of designated successors. The designation as a successor enables a person to act for and exercise the powers of the principal in the event of death, permanent disability, or resignation.

**Mission Essential Functions** – The limited set of department- and agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

**National Alert Warning System (NAWAS)** – Operated and maintained by FEMA, the NAWAS was originally created as part of the Civil Defense Act of 1950 in order to pass emergency information to the American public regarding an actual attack or an accidental missile launch against the United States. The NAWAS is available on a 24/7 basis as a non-secure, continuous, private line, telephone system and is used to convey warnings to Federal, State, and local governments, as well as the military and civil populations. Although the original mission of NAWAS was to warn of an enemy attack or missile launch, the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974 expanded the NAWAS mission to include warning for acts of terrorism, as well as natural and technological disasters and events. NAWAS is used by the National Oceanic and Atmospheric Administration (NOAA) to pass severe weather alerts as conditions develop as well and to pass critical sheltering information in the event these severe weather conditions materialize. There are currently approximately 2050 NAWAS drops (referred to as Warning points) across the Nation, to include Alaska, Hawaii, Puerto Rico, and the US Virgin Islands.

**National Essential Functions (NEFs)** – The eight functions and overarching responsibilities of the Federal Government to lead and sustain the Nation that the President and national leadership will focus on during a catastrophic emergency that, therefore, must be supported through continuity capabilities.

**National Exercise and Evaluation Program (NEEP)** – NEP utilizes the NEEP to evaluate homeland security-related exercises and make improvements for the future.

**National Exercise Program (NEP)** – HSPD-8 directed the establishment of the NEP under the leadership of the Secretary of Homeland Security. The NEP is the Nation's overarching exercise program formulated by the National Security Council/Homeland Security Council, and executed by the Federal Interagency. The NEP serves as the principal mechanism for examining the preparation of the Federal executive branch and adopting policy changes that might improve such preparation. The NEP is DHS's principal mechanism for training and exercising officials at all levels of government, as well as members of the private sector, and, at times, our international partners. The NEP has developed common policy and guidance and has established collaborative management processes and tools to link its partners and stakeholders nationwide. Lessons learned and peer-validated best practices identified through exercises and actual incidents are made available to the homeland security community.

**National Incident Management System (NIMS)** – HSPD-5 directed the Secretary of Homeland Security to develop and administer a National Incident Management System to integrate effective practices in emergency preparedness and response into a comprehensive national framework for incident management. The NIMS will enable responders at all levels to work together more effectively to manage domestic incidents no matter what the cause, size, or complexity. NIMS

benefits include a unified approach to incident management; standard command and management structures; and emphasis on preparedness, mutual aid, and resource management.

**National Infrastructure Protection Plan (NIPP)** – Pursuant to HSPD-7, the NIPP provides a coordinated approach to critical infrastructure and key resources (CI/KR) protection roles and responsibilities for Federal, State, local, tribal, and private sector security partners. The NIPP sets national priorities, goals, and requirements for effective distribution of funding and resources which will help ensure that our government, economy, and public services continue in the event of a terrorist attack or other disaster. The plan is based on the following:

- Strong public-private partnerships which will foster relationships and facilitate coordination within and across CI/KR sectors.
- Robust multi-directional information sharing which will enhance the ability to assess risks, make prudent security investments, and take protective action.
- Risk management framework establishing processes for combining consequence, vulnerability, and threat information to produce a comprehensive, systematic, and rational assessment of national or sector risk.

**National Operations Center (NOC)** – A DHS entity, which operates 24 hours a day, seven days a week, which is the primary national level hub for domestic situational awareness, common operational picture, information fusion, information sharing, communications, and coordination pertaining to the prevention of terrorist attacks and domestic incident management. The NOC is responsible for collecting and fusing information from Federal, State, tribal, local, and private sector agencies. Information on domestic incident management is shared with Emergency Operations Centers at all levels through the Homeland Security Information Network.

**Planning** – The first step in a robust Program Management Cycle, includes pre-identifying the right people, places, budgeting, resources, tasks, and procedures required to fulfill Essential Functions.

**Program Management** – The continuous cycle of planning, training, evaluating, and implementing corrective actions.

**Regional Response Coordination Center (RRCC)** – The RRCC is a standing facility operated by DHS/FEMA that coordinates regional response efforts, establishes Federal priorities, and implements local Federal program support until a JFO is established in the field and/or other key DHS incident management officials can assume their NRP coordination responsibilities. The RRCC establishes communications with the affected State Emergency Operations Center (EOC) and the NOC-NRCC, coordinates deployment of the Emergency Response Team–Advance Element (ERT-A) to field locations, assesses damage information, develops situation reports, and issues initial mission assignments.

**Staff** – Those personnel, both senior and core personnel, that provide the leadership advice, recommendations, and the functional support necessary to continue essential operations.

**State Command and Coordination Capability (SCCC)** – The SCCC is the means to provide the Governor with the ability to respond deliberately and appropriately to any crisis. It includes responsive, reliable, survivable, and robust processes and systems to command, control, and coordinate operations among State, tribal, insular, and local governments, as required.

**State Continuity Directive (SCD)** – A document developed and promulgated by OKOHS, in coordination with the CPCC, which directs departments and agencies to carry out identified continuity planning requirements and assessment criteria.

**State Continuity Policy (Policy)** – The policy of the State of Oklahoma to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of State Essential Functions under all conditions.

**State Essential Functions (SEFs)** – The eight functions and overarching responsibilities of the State Government to lead and sustain the State that the Governor and state leadership will focus on during a catastrophic emergency that, therefore, must be supported through continuity capabilities.

**State Exercise and Evaluation Program (SEEP)** – SEP utilizes the SEEP to evaluate homeland security-related exercises and make improvements for the future.

**State Exercise Program (SEP)** – The SEP is the State’s overarching exercise program formulated by the Office of Homeland Security. The SEP serves as the principal mechanism for examining the preparation of State Government and adopting policy changes that might improve such preparation. The SEP is OKOHS’s principal mechanism for training and exercising officials at all levels of government, as well as members of the private sector.

**State Mission Essential Functions** – The limited set of department- and agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

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

## Appendix C: COGCON Matrix

This matrix addresses the manual workaround procedures for Mission Essential Functions. The Communications and Technology recovery timeframes will be defined by the individual organization's business impact analysis and restoration program objectives.

Readiness Level	Department and Agency		
	Operations	Staffing Level	Time to Transition to Successive Stages
<b>COGCON 4</b>	<ul style="list-style-type: none"> <li>Continue to perform headquarters business functions at normal location(s)</li> <li>Maintain alternate operating facility(ies) in accordance with agency continuity plans to ensure readiness for activation at all times</li> <li>Conduct training and exercise activities in accordance with agency continuity and Test, Training, and Exercise (TTE) plan(s) to ensure personnel readiness</li> </ul>	<ul style="list-style-type: none"> <li>No staffing required at alternate operating facility(ies)</li> <li>Maintain normal delegations and devolution of authority to ensure performance of essential functions to respond to a no-notice event</li> </ul>	<ul style="list-style-type: none"> <li>Fully Operational within 12 hours</li> </ul>
<b>COGCON 3</b>	<ul style="list-style-type: none"> <li>Continue to perform business functions at normal location(s)</li> <li>Maintain alternate operating facility(ies) in accordance with agency continuity plans to ensure readiness for activation at all times</li> <li>Conduct additional training activities to increase personnel readiness (e.g. Team tabletops, review recall lists, review plans and procedures)</li> </ul>	<ul style="list-style-type: none"> <li>No staffing required at alternate operating facility(ies) unless necessary to meet 8-hour operational requirement.</li> <li>Maintain normal delegations and devolution of authority to ensure performance of essential functions to respond to a no-notice event</li> </ul>	<ul style="list-style-type: none"> <li>Continuity plan is fully operational within 8 hours</li> <li>4 hours to COGCON 2</li> </ul>
<b>COGCON 2</b>	<ul style="list-style-type: none"> <li>Continue to perform headquarters business functions at normal location(s). Monitor/track major activities</li> <li>Maintain alternate operating facility(ies) in accordance with agency continuity plans to ensure readiness for activation at all times</li> <li>Take appropriate steps to ensure alternate operating facility(ies) can be activated with 4 hours notice</li> </ul>	<ul style="list-style-type: none"> <li>Deploy sufficient staff to alternate operating facility(ies) to allow activation with 4 hours notice</li> </ul>	<ul style="list-style-type: none"> <li>Continuity plan is fully operational within 4 hours</li> <li>4 hours to COGCON 1</li> </ul>
<b>COGCON 1</b>	<ul style="list-style-type: none"> <li>Continue to perform headquarters business functions at normal location(s) as appropriate</li> <li>Monitor/track major activities</li> <li>Perform day-to-day functions at alternate facility(ies) as appropriate</li> <li>Take appropriate steps to ensure alternate operating facility(ies) can be activated with no notice</li> </ul>	<ul style="list-style-type: none"> <li>Deploy sufficient staffing to alternate operating facility(ies) to perform essential functions with no notice</li> </ul>	<ul style="list-style-type: none"> <li>Agency headquarters continuity plan activated immediately and report operational status within two hours</li> </ul>

Readiness Level	Continuity Capability		
	Communications	Succession	Impact on Departments and Agencies
<b>COGCON 4</b>	<ul style="list-style-type: none"> <li>• Test all internal agency communications capabilities between normal operating locations and alternate operating facility(ies) no less than quarterly</li> <li>• Test all communications capabilities at all alternate operating facility(ies) with applicable interagency partners no less than quarterly</li> </ul>	<ul style="list-style-type: none"> <li>• No special measures to protect or track the location of agency leadership and successors</li> <li>• Ensure delegations of authority to lead departments and agencies are in place for senior personnel located outside of the State Capital Region</li> </ul>	<ul style="list-style-type: none"> <li>• No additional requirements</li> </ul>
<b>COGCON 3</b>	<ul style="list-style-type: none"> <li>• Conduct at least one additional internal agency communications test between normal operating locations and alternate operating facility(ies) within 24 hours</li> </ul>	<ul style="list-style-type: none"> <li>• Track the locations of agency leaders and their successors on daily basis</li> </ul>	<ul style="list-style-type: none"> <li>• Additional staff time for communications testing and tracking agency leadership</li> <li>• Potential shorter response times for basic staffing of alternate facility(ies)</li> </ul>
<b>COGCON 2</b>	<ul style="list-style-type: none"> <li>• Conduct internal agency communications tests between normal operating locations and alternate operating facility(ies) within 24 hours and repeat not less than weekly</li> <li>• Conduct communications tests at all alternate operating facility(ies) with applicable interagency partners within 48 hours and repeat not less than weekly</li> </ul>	<ul style="list-style-type: none"> <li>• Track the locations of agency leaders and their successors on daily basis</li> <li>• Ensure at least one headquarters level agency successor is out of the State Capital Region at all times</li> </ul>	<ul style="list-style-type: none"> <li>• Potential increased travel requirements for agency leadership Some staff is required to work from alternate location(s)</li> <li>• Potential shorter response times for additional staffing of alternate facility(ies)</li> </ul>
<b>COGCON 1</b>	<ul style="list-style-type: none"> <li>• Test internal agency communications between normal operating locations and alternate operating facility(ies) daily</li> <li>• Conduct communications tests at all alternate operating facility(ies) with applicable interagency partners daily</li> </ul>	<ul style="list-style-type: none"> <li>• Track the locations of agency leaders and their successors on a daily basis</li> <li>• At least one headquarters-level agency successor must be at alternate operating facility(ies)</li> </ul>	<ul style="list-style-type: none"> <li>• Some agency leaders work from alternate facility(ies)</li> <li>• Significant number of staff are required to work from alternate location(s)</li> </ul>

## Appendix D: Continuity Requirements and Metrics

This *Implementation Plan* requires Tier 1 and Tier 2 department and agency heads to take the following action: *After receiving the continuity requirements from the SCC, submit COOP plans to the SCC.*

From the list of continuity requirements (see below), department and agency heads shall use the key questions and metrics guidance below to certify that their organizations have a robust continuity capability.

Continuity requirements for State Government shall include the following:			
	<b>CONTINUITY REQUIREMENTS</b>	<b>KEY QUESTIONS</b>	<b>METRICS</b> <i>(Provide justification including quantitative and/or qualitative data to show you have met the requirement &lt;OR&gt; identify steps you will take to do so.)</i>
1.	The continuation of the performance of SPMEFs during any emergency must be for a period up to 30 days or until normal operations can be resumed, and the capability to be fully operational at alternate sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after COOP activation;	<ul style="list-style-type: none"> <li>• Is your organization able to perform your current SPMEFs during any emergency and for up to 30 days or resumption of normal operations?</li> <li>• Is your organization able to be fully operational at an alternate site within 12 hours of COOP activation?</li> </ul>	<ul style="list-style-type: none"> <li>• Measure ability to perform SPMEFs through test, training, and exercise, identifying gaps and solutions.</li> <li>• Measure capability to be fully operational at a COOP site within 12 hours through test, training, and exercise, identifying gaps and solutions.</li> </ul>
2.	Succession orders and pre-planned devolution of authorities that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law;	<ul style="list-style-type: none"> <li>• Does your organization have accessible and complete orders of succession familiar to successors?</li> <li>• Does your organization have accessible and complete devolution of authorities known by those to whom they devolve?</li> </ul>	<ul style="list-style-type: none"> <li>• Document and train on succession orders</li> <li>• Document and train on devolution of authorities</li> </ul>
3.	Vital resources, facilities, and records must be safeguarded, and official access to them must be provided;	<ul style="list-style-type: none"> <li>• Are your vital resources safeguarded?</li> <li>• Are your facilities safeguarded?</li> <li>• Are your records safeguarded?</li> <li>• Will your continuity staff have official access to your vital resources, facilities, and records in an emergency?</li> </ul>	<ul style="list-style-type: none"> <li>• Document measures taken to safeguard vital resources, facilities, and records.</li> <li>• Document measures taken to ensure official access to vital resources, facilities, and records.</li> </ul>

4.	Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis;	<ul style="list-style-type: none"> <li>• Have you identified emergency continuity resources?</li> <li>• Do you have agreements/contracts to acquire emergency continuity resources?</li> </ul>	<ul style="list-style-type: none"> <li>• Identify your emergency continuity resource requirements.</li> <li>• Identify what agreements/contracts you have made to meet these requirements.</li> <li>• Identify what additional agreements/contracts are needed.</li> </ul>
5.	Provision must be made for the availability and redundancy of critical communications capabilities at alternate sites in order to support connectivity between and among key government leadership, internal elements, other executive departments and agencies, critical partners, and the public;	<ul style="list-style-type: none"> <li>• Do you have critical communications capability at your alternate site(s)?</li> <li>• Do you have redundant communications capability at your alternate site(s)?</li> </ul>	<ul style="list-style-type: none"> <li>• Identify your current communications capability at your alternate site.</li> <li>• Identify what communications capability is necessary.</li> <li>• Identify the plan to improve communications at your alternate site in six months, one year, and two years.</li> </ul>
6.	Provision must be made for reconstitution capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations; and	<ul style="list-style-type: none"> <li>• What is your plan to ensuring your reconstitution capability?</li> </ul>	<ul style="list-style-type: none"> <li>• Identify your reconstitution capability plan.</li> </ul>
7.	Provision must be made for the identification, training, and preparedness of personnel capable of relocating to alternate facilities to support the continuation of the performance of SPMEFs.	<ul style="list-style-type: none"> <li>• Have you identified, trained, and prepared personnel to relocate to alternate sites to continue SPMEFs?</li> </ul>	<ul style="list-style-type: none"> <li>• Verify that staff are identified, trained, and prepared to relocate to alternate sites.</li> </ul>

## Stoplight Scoring System

For each of the seven continuity requirements, department and agency heads will self-identify a simple grading system to show status:

- **Green** for success,
- **Yellow** for mixed results, and
- **Red** for unsatisfactory
- **Black** for noncompliant

The SCC, in coordination with OKOHS, will work with departments and agencies to further define continuity standards using a consistent Continuity Capability Scoring System to allow continuing assessment of improvement in continuity capability.

## Appendix E: Implementation Plan Requirements

Responsible Party	Required Action	First Due Date	Subsequent Due Date
<b>Continuity Policy Coordination Committee</b>	1. On an ongoing basis, provide continuity policy coordination among all departments and agencies, monitor performance, and report to the Governor as appropriate.	On an ongoing basis	
	2. Coordinate revision of the SEFs and department and agency SPMEFs and SMEFs.	As required	
	3. Ensure that the Oklahoma Office of Homeland Security staff conducts meetings of the CPCC.	As required	
	4. Establish a method and schedule to request agency proposals for identification of SPMEFs for submission to the SCC.	As required	
	5. Within 60 days of receiving proposed SMEFs from the SCC, identify SPMEFs for validation and approval.	Within 60 days of receipt	
	6. Coordinate with OKOHS to develop a continuity assessment tool for the departments and agencies to measure continuity readiness and report the continuity assessments results to the SCC.		
	7. Within the annual budget process and on an ongoing basis, assist OSF and departments and agencies with continuity budget development and prioritization, including long-term equipment life cycle replacements and upgrades.	Within the annual budget process and on an ongoing basis	
	8. On an ongoing basis, ensure coordination of continuity acquisition functions with the Department of Central Services.	On an ongoing basis	
	9. On an ongoing basis, coordinate the integration of State continuity test, training, and exercise programs.	On an on going basis	
	10. Annually submit a report to the Governor that assesses (a) the ability of departments and agencies to perform their SPMEFs, (b) the scope and effectiveness of legislative, executive, and judicial branch coordination, and the nature and level of executive branch support, to perform the SEFs and achieve common continuity goals, and (c) the scope and effectiveness of coordination among State, local, and tribal governments and the private sector to perform the SEFs and achieve common continuity goals.		Annually
<b>State Continuity Coordinator</b>	1. On an ongoing basis, serve as the Governor's lead agent for coordinating overall continuity operations and activities.	On an ongoing basis	
	2. On an ongoing basis, coordinate with OEM to maintain 24-hour operations to ensure appropriate responses for continuity and incident management activities.	On an ongoing basis	
	3. On an ongoing basis, provide guidance to State, local, and tribal governments on continuity priorities and implementation guidelines.	On an ongoing basis	
	4. On an ongoing basis, support the State's continuity plans and programs and, in coordination with OKOHS, provide guidance to private sector entities and operators of Critical Infrastructure and Key Resources (CI/KR) on continuity priorities and implementation guidelines.	On an ongoing basis	

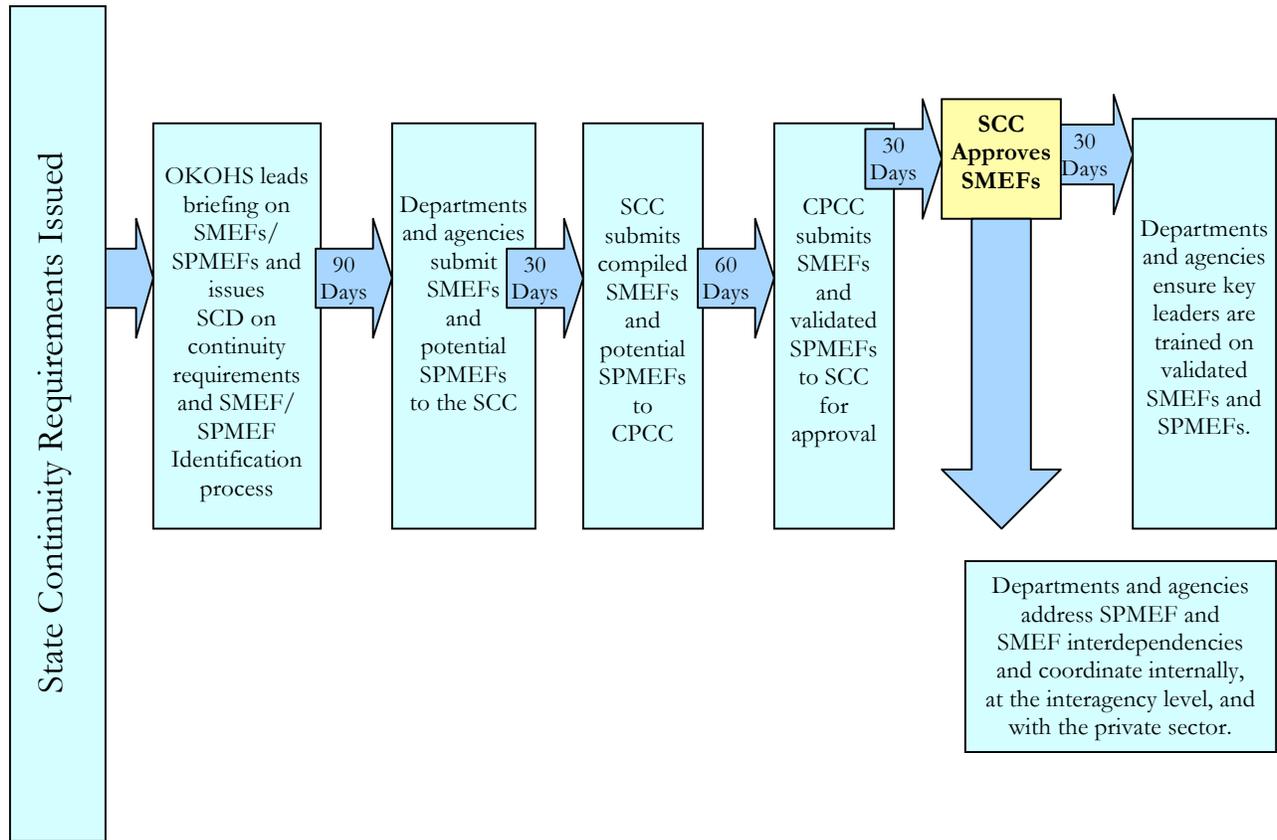
	5. Not less than quarterly, conduct assessments of continuity communications capabilities in consultation with an official designated by the Governor.		Not less than quarterly
	6. Establish a familiarization briefing on SMEF and SPMEF identification for department and agency Continuity Coordinators (Assistant Commissioner-level).		
	7. In coordination with the CPCC, issue a State Continuity Directive on Continuity Requirements, to include the formalized process for departments and agencies to identify SMEFs, and revise through annual, or as needed, Directives.		Annually or as needed
	8. In coordination with the CPCC, issue a State Continuity Directive on the formalized process for department and agency submission of potential SPMEFs that are consistent and supportive of the SEFs. <ul style="list-style-type: none"> <li>• Include a standardized checklist to allow departments and agencies to assess their SPMEFs through a risk management process;</li> <li>• Include guidance on how the SPMEFs link to/support SEF(s); and</li> <li>• Include guidance on impact statements if a specific SPMEF is not conducted.</li> </ul>		
	9. Within 30 days after submission of Tier 1 and 2 department and agency SEFs and potential SPMEFs, compile submissions and provide them to the CPCC review and validation.	Within 30 days of submission	
	10. Within one year and annually thereafter, update training courses for department and agency continuity planners on the identification and development of SPMEFs and SEFs, in addition to maintaining ongoing continuity training courses.	Within 1 year	Annually thereafter
	11. After receipt of technical requirements from the Chief Information Officer (CIO), provide an implementation plan for a comprehensive Continuity Communications Architecture (CCA), which shall include the minimum requirements necessary to finalize selection of a secure communications system.	After receipt of technical requirements	
	12. After receipt of technical requirements from the CIO, through the State Communications System (SCS), develop, implement, and begin maintenance of a comprehensive CCA in coordination with OEM.	After receipt of technical requirements	Ongoing
	13. On an annual basis, develop, lead, and conduct an integrated (COOP and COG) continuity training exercise, incorporated into the State Exercise Program, and report the results to the SCC.	On an annual basis	
	14. On an as needed basis, revise and promulgate integrated continuity planning guidance to non-State Governments and others as appropriate.	On an as needed basis	
	15. On an as needed basis, in coordination with the CIO and OKOHS, provide cyber security assistance and support in accordance with HSPD-7 and the <i>State Strategy to Secure Cyberspace</i> .	On an as needed basis	
	16. Conduct annual continuity conferences to address joint State and non-State Government continuity planning and other elements of a viable continuity program.	As required and annually	
	17. On an as needed basis in coordination with CPCC, develop and promulgate State Continuity Directives that establish continuity planning requirements, continuity plan templates, TT&E programs, and assessment criteria.	On an ongoing basis	

<b>Tier 1 and 2 Department and Agency Heads</b>	1. On an ongoing basis, ensure performance of department or agency State Primary Mission Essential Functions.	On an ongoing basis	
	2. On an ongoing basis, incorporate continuity requirements into daily department and agency operations.	On an ongoing basis	
	3. On an ongoing basis, ensure the department or agency has continuity plans for dealing with a State or localized emergency situation and ensuring the continued performance of all SPMEFs in support of the SEFs, as well as continued performance of SEFs and other essential functions.	On an ongoing basis	
	4. Appoint a senior accountable official as the Continuity Coordinator for the department or agency.		Maintain Role
	5. Annually submit a report to the SCC certifying that the department or agency has a continuity capability plan that includes, at minimum, the following scenarios: 1) Three-day ice storm; 2) 40% reduction of staff for two weeks; 3) Loss of facility; 4) Loss of technical infrastructure.		Annually
	6. On an ongoing basis, plan, program, and budget for secure continuity communications capabilities.	On an ongoing basis	
	7. Within 90 days after the SCC's guidance, review and revise SEFs and identify and submit potential SPMEFs to the CPCC.	Within 90 days of SCC's guidance	
	8. Within 30 days after validation of department and agency SPMEFs and annually thereafter, ensure key leaders and support staff are provided familiarization training of department or agency SPMEFs and SEFs.	Within 30 days of validation	Annually thereafter
	9. Within 180 days after validation of department and agency SPMEFs, ensure SPMEF and SEF interdependencies are coordinated internally, at the interagency level, and with private sector partners.	Within 180 days of validation	On an ongoing basis
	10. On an ongoing basis, participate in OKOHS's State Exercise Program.	On an ongoing basis	
	11. On an ongoing basis, incorporate OSF guidance on continuity as provided, when developing continuity budgets.	On an ongoing basis	
	12. As required, submit Continuity Readiness Reports, and other reports as requested.	As required, monthly, quarterly, and upon COOP activation	
<b>Director of Office of State Finance (OSF)</b>	1. As necessary, in coordination with the SCC, issue continuity planning guidance for the development of continuity budget requests.		As Necessary
	2. Annually conduct an assessment of department and agency continuity funding requests and performance data that are submitted by departments and agencies as part of the annual budget request process in order to monitor progress in the execution of this <i>Plan</i> and continuity budgets.		Annually
	3. Annually reconcile department and agency continuity funding requests and performance data.		Annually
<b>Chief Information Officer</b>	1. Annually review and revise as required, minimum requirements for continuity communications for executive branch departments and agencies, in consultation with OKOHS, OEM, OSF, and the Governor.		Annually Review and revise as required
	2. Establish and chair a Continuity Communications Architecture Board (CCAB).		
	3. After validation of SPMEFs, distribute requirements for, and update as needed, a comprehensive Continuity Communications Architecture (CCA) in consultation with OKOHS, OEM, OSF, and the Governor.	After validation of SPMEFs	

	4. On an ongoing basis, monitor the development, implementation, and maintenance of a CCA to integrate continuity components, in consultation with OKOHS, OEM, OSF, and the Governor.	On an ongoing basis	
	5. Quarterly and annually, review assessments of continuity communications capabilities and report the results and recommended remedial actions to the SCC.		Quarterly and annually
<b>Oklahoma Department of Emergency Management</b>	1. Within 60 days after the publication by the CIO of the Continuity Communications Architecture implementation plan, identify the secure, integrated Continuity of Government communications for use by the Governor, and, at a minimum, Tier I departments and agencies.	Within 60 days of the CCA implementation plan	
	2. Upon identification and implementation, continuously maintain the secure, integrated, Continuity of Government communications for the Governor, and, at a minimum, Tier I departments and agencies.	Upon identification and implementation	Continuously
	3. Not less than quarterly, assist the Director of Homeland Security and the SCC with assessments of continuity communications capabilities.	Not less than quarterly	
	4. On an ongoing basis, assist OKOHS in conducting continuity training and exercises and in providing assistance during emergencies and disasters.	On an ongoing basis	
	5. On an ongoing basis, ensure that the Emergency Operations Center (EOC) maintains 24-hour operations to ensure appropriate procedures for emergency operations.	On an ongoing basis	
<b>Director of Homeland Security</b>	1. Coordinate with the SCC in developing a continuity assessment tool for the departments and agencies to measure continuity readiness against requirements contained in NSPD-51/HSPD-20.		
	2. Quarterly, ensure the SCC reports to the CCCC.		Quarterly
	3. In coordination with the SCC and OEM, every two years, conduct department and agency assessments of continuity capabilities and report the results to the SCC.		Every two years
	4. Incorporate continuity communications needs into the Statewide Communications Interoperability Plan.	On an ongoing basis	
	5. On an ongoing basis, provide critical infrastructure assistance and support in accordance with HSPD-7 and the <i>State Strategy for the Physical Protection of Critical Infrastructures and Key Assets</i> , and the Nation Infrastructure Protection Plan.	On an ongoing basis	
<b>Director of Office of Personnel Management (OPM)</b>	1. Develop and provide personnel guidance to support State Government continuity plans and programs.		
	2. Establish telework guidance to support department and agency continuity programs.		
	3. In coordination with the Director of Homeland Security, provide guidance to assist in facilitating planning meetings and exercises to develop effective continuity programs.		
	4. On an ongoing basis, assist OKOHS and OEM in conducting continuity training, exercises, assessments, and other preparedness activities.	On an ongoing basis	
	5. Submit a report to the SCC on the possibility of creating an occupational specialty for continuity and an associated training program, and, if approved, work with the SCC to include the information in a State Continuity Directive.		
<b>Director of the Department of Central Services</b>	1. On an ongoing basis, coordinate the provision of State Government facilities to support continuity operations and maintain the database for all department and agency alternate facilities.	On an ongoing basis	

	2. On an ongoing basis, facilitate a coordinated and seamless executive branch continuity infrastructure and provide and maintain a centralized procurement system for all department and agency continuity infrastructure requirements.	On an ongoing basis
	3. On an ongoing basis, assist the Director of Homeland Security and OEM in conducting continuity tests, training, exercises, assessments, and other preparedness activities.	On an ongoing basis
	4. During and in the aftermath of emergencies and disasters, assist the Director of OEM and affected departments and agencies in their recovery and reconstitution.	
<b>State Associations</b>	1. On an ongoing basis, provide assistance where practicable in coordinating continuity activities for association members.	On an ongoing basis

## Appendix F: SMEF/SPMEF Identification Timeline





## STATE CONTINUITY IMPLEMENTATION PLAN

Continuity Policy Coordination Committee

December 2009