

**NEW YORK STATE
CONTINUITY OF OPERATIONS PLANNING**

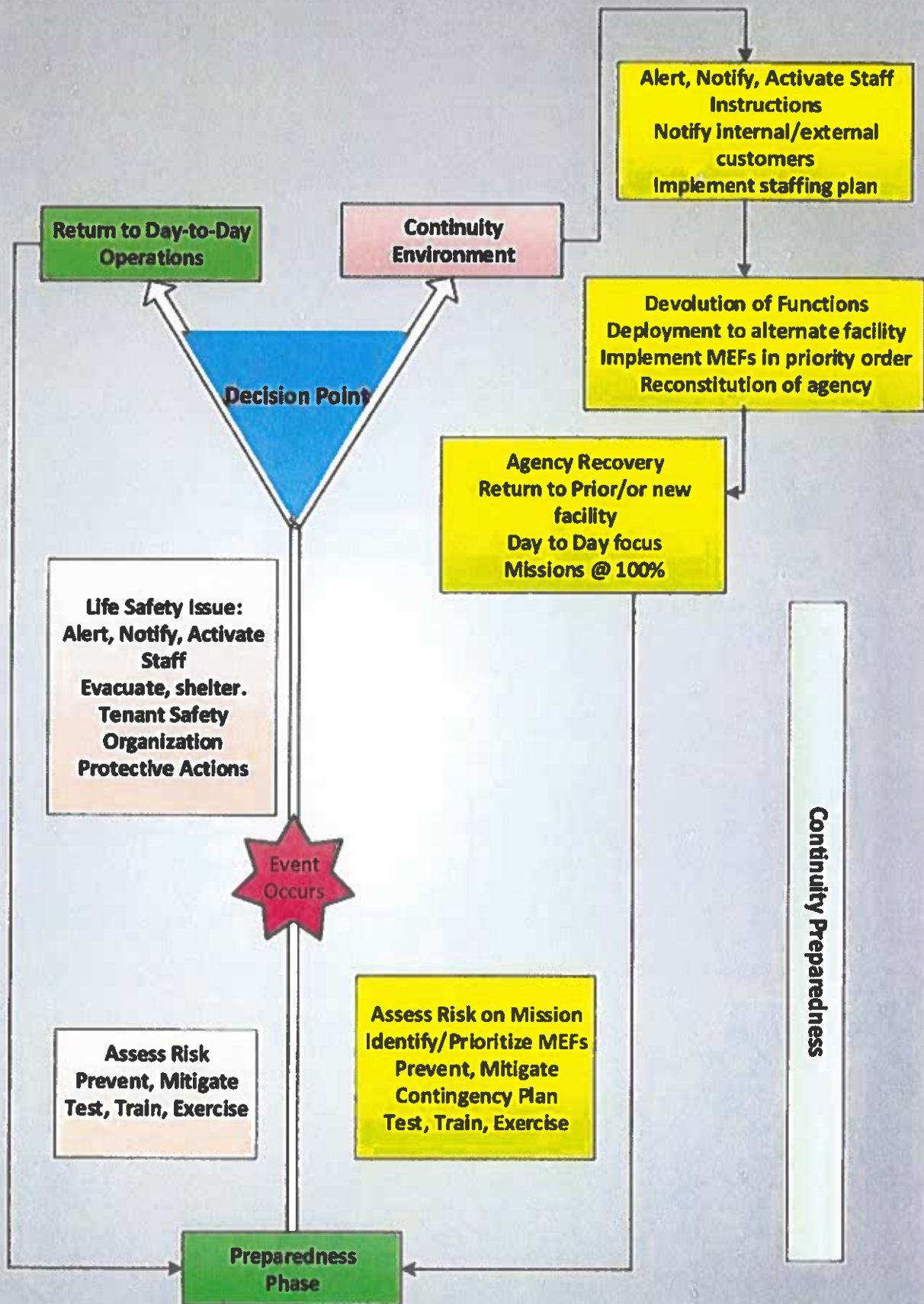
**2023 NYS COOP COURSE
PARTICIPANT RESOURCE PACKAGE**



**PREPARED BY THE NEW YORK STATE
OFFICE OF EMERGENCY MANAGEMENT – PLANNING SECTION**

May 2023

Basic Emergency Preparedness



COOP/EM Planning and Response Cycle
NYS DHSES/OEM – Planning
June, 2018

**NEW YORK STATE
CONTINUITY OF OPERATIONS PLANNING**

Facility Assessment Form



**PREPARED BY THE NEW YORK STATE
OFFICE OF EMERGENCY MANAGEMENT - PLANNING SECTION**

May 2023

Facility Information	
Agency	
Municipality	

Information Technology Services			
Are you on the NYS Enterprise?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Location of T-1/Data Transmission Lines?		<input type="checkbox"/> Buried	<input type="checkbox"/> Pole to Building
Are the agency IT services provided by a vendor?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Please indicate if your IT hardware is on-site:		<input type="checkbox"/> On-Site	<input type="checkbox"/> Off-Site
Are the server rooms secure and/or protected?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Where are backups sent?		<input type="checkbox"/> CNSE	<input type="checkbox"/> Utica Data Hub/Other
Are system updates performed regularly?			<input type="checkbox"/> Yes <input type="checkbox"/> No
How is information stored?	<input type="checkbox"/> Hard Drives	<input type="checkbox"/> Cloud Service	<input type="checkbox"/> External Server
What is backed up?	<input type="checkbox"/> Email	<input type="checkbox"/> Documents & Data	<input type="checkbox"/> Full Disk
How frequent are backups performed?	<input type="checkbox"/> Hourly	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly <input type="checkbox"/> Monthly
System security:	<input type="checkbox"/> Anti-Virus	<input type="checkbox"/> Intrusion Detection	<input type="checkbox"/> Firewall

Energy Resources			
Primary			
Source of primary energy:	<input type="checkbox"/> Local utility (Fuel/Electricity)	<input type="checkbox"/> Private substation	<input type="checkbox"/> On-site generation (solar/wind)
Location of primary transmission lines:		<input type="checkbox"/> Buried	<input type="checkbox"/> Pole to Building
Location of primary fuel inlets:		<input type="checkbox"/> Buried	<input type="checkbox"/> On-site storage
Back-Up System(s)			
Is there a generator(s) on site?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Are the generators automatic?			<input type="checkbox"/> Yes <input type="checkbox"/> No
What fuel does the generator use?		<input type="checkbox"/> Natural Gas	<input type="checkbox"/> Diesel <input type="checkbox"/> Propane

Facility Security			
Is the facility a secure facility, with limited access?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Type of limited access system:	<input type="checkbox"/> Controlled Access by Security Personnel	<input type="checkbox"/> RFID/Key Card Access	<input type="checkbox"/> Physical Key
Security Cameras:			<input type="checkbox"/> Yes <input type="checkbox"/> No
Electronically Controlled Locking System:			<input type="checkbox"/> Yes <input type="checkbox"/> No
Security personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Armed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Alarm System?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Automatic notification of E-911?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Facility Emergency Systems Information						
Is the agency the only tenants in the building?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
Identify tenants in building:		<input type="checkbox"/> Local/County	<input type="checkbox"/> State	<input type="checkbox"/> Federal	<input type="checkbox"/> Private	
Are there:		<input type="checkbox"/> Fire Alarms	<input type="checkbox"/> Sprinklers	<input type="checkbox"/> Visible Alarms	<input type="checkbox"/> Multiple exits	
Source of water for sprinklers:		<input type="checkbox"/> Lake/Pond	<input type="checkbox"/> Building water storage	<input type="checkbox"/> Municipal		
Are there any backup sources for the sprinklers?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are there any redundant fire suppression system pumps?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
Communication Systems:		<input type="checkbox"/> PA System	<input type="checkbox"/> Two-way Radio	<input type="checkbox"/> Auto-Broadcast over Phone	<input type="checkbox"/> Email Alerts	
Is the building equipped with Emergency Lighting?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is there an Occupant Emergency Plan in place?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
Frequency of Emergency System Tests:		<input type="checkbox"/> Once a year	<input type="checkbox"/> Every 6 months	<input type="checkbox"/> Every 3 months	<input type="checkbox"/> Monthly	

Water and Air Resources			
Water			
Primary water source?		<input type="checkbox"/> On-site well	<input type="checkbox"/> Municipal
Water-treatment		<input type="checkbox"/> On-Site	<input type="checkbox"/> Off-Site
Air and Ventilation			
Where is the air-intake for the building?		<input type="checkbox"/> Ground-level	<input type="checkbox"/> Ground-level, secured
			<input type="checkbox"/> Rooftop
Are there exhaust louvers for the building?		<input type="checkbox"/> Ground-level	<input type="checkbox"/> Ground-level, secured
			<input type="checkbox"/> Rooftop
What types of air filtration is present for the facility?			

Other Information

Natural Hazards	Technological Hazards	Biological Hazards	Adversarial, Incidental, and Human-caused Threats
<ul style="list-style-type: none"> ➤ Earthquakes ➤ Tornadoes ➤ Lightning ➤ Severe Wind ➤ Hurricanes ➤ Floods ➤ Wildfires ➤ Extreme Temperatures ➤ Landslides or Mudslides ➤ Tsunamis ➤ Volcanic Eruptions ➤ Winter Precipitation 	<ul style="list-style-type: none"> ➤ Explosions or accidental release of toxins from industrial plants ➤ Accidental release of hazardous materials from within a school, such as gas leaks or laboratory spills ➤ Hazardous materials release from major highways or railroads ➤ Radiological releases from nuclear power stations ➤ Dam Failure ➤ Power Failure ➤ Water Failure 	<ul style="list-style-type: none"> ➤ Infectious disease, such as Pandemic Influenza, extensively drug-resistant Tuberculosis, <i>Staphylococcus aureus</i>, and Meningitis ➤ Contaminated food outbreaks, includes <i>Salmonella</i>, Botulism, and <i>E. coli</i> ➤ Toxic materials present in school laboratories 	<ul style="list-style-type: none"> ➤ Fire ➤ Active Shooter(s) ➤ Criminal Threats or Actions ➤ Gang Violence ➤ Bomb Threats ➤ Domestic Violence and/or Abuse ➤ Cyber Attacks ➤ Suicide

Potential Threats and Hazards

External Threats and Hazards

► Explosions:

- Nuclear Attack: Global War
- Nuclear Detonation: 10-Kiloton Improvised Nuclear Devices(s)
- Radiological Attack: Radiological Dispersal Device(s); Dirty Bomb
- Explosives Attack: Improvised Explosive Device(s)

► Chemical/Biological:

- Biological Attack/Outbreak
 - Aerosol Anthrax; Plague; Ricin
 - Food Contamination
 - Animal Disease (Foot and Mouth Disease)
- Pandemic Influenza
- Chemical Agent
 - Blister Agent
 - Nerve Agent
 - Toxic Industrial Chemicals
 - Chlorine Tank Explosion

► Infrastructure Damage:

- Critical Infrastructure Attack/Failure
- Power Outage (Blackout)
- Communications system failure or disruption
- Water supply contamination/sewage system failures
- Heating, ventilation and air cooling failures
- Major Fire(s)

► Cyber Attack:

- Loss of data or network service

► Economic/Labor/Insurrection:

- Civil Unrest
- Labor Dispute
- Mass transit strike
- Demonstrations/Riots
- Economic Catastrophe (market crash; loss of confidence)

► Natural Disasters:

- High Winds (hurricane; tornado)
- Winter Storm
- Major (Severe) Earthquake
- Flood(s)
- Tsunami
- Volcano

Process Threats and Hazards

- Inadequate critical supply
- Failure of a partner or supplier

- Poor process design
- Single points of failure

Internal Threats and Hazards

- Sabotage
- Poor Planning
- Computer system crash

- Failure to recognize requirements or obstacles
- Incompetence
- Disgruntled employee

**NEW YORK STATE
CONTINUITY OF OPERATIONS PLANNING**

**RISK & BUSINESS IMPACT ANALYSIS
Hazard Definitions**



**PREPARED BY THE NEW YORK STATE
OFFICE OF EMERGENCY MANAGEMENT – PLANNING SECTION**

May 2023

Risk Analysis:

Hazard List & Definitions

(All Hazards/Risks should be considered under a credible, worst-case scenario; use history as an indicator)

Active Shooter: An individual actively engaged in killing or attempting to kill people in a confined and populated area.¹

Biological Agent Release: Biological agents include bacteria, viruses, fungi, other microorganisms, and their associated toxins. They have the ability to adversely affect human health in a variety of ways, ranging from relatively mild allergic reactions to serious medical conditions, even death. Release of any of these items could be accidental or with the intent to cause harm.²

Cyber Incident: Any malicious act or suspicious event that: Compromises, or was an attempt to compromise, the Electronic Security Perimeter or Physical Security Perimeter of a Critical Cyber Asset, or, Disrupts, or was an attempt to disrupt, the operation of a Critical Cyber Asset.³

Earthquakes: Term used to describe both sudden slip on a fault, and the resulting ground shaking and radiated seismic energy caused by the slip, or by volcanic or magmatic activity, or other sudden stress changes in the Earth.⁴

Fire - External: The phenomenon of combustion manifested in light, flame, and heat. An external fire refers to a fire which begins outside of the building which houses the agency, such as a wildfire, or a near-by structure fire, and affects the building which houses the agency.⁵

Fire - Internal: The phenomenon of combustion manifested in light, flame, and heat. An internal fire refers to a fire which begins inside the building which houses the agency. The cause of the fire can be a number of things, as long as the cause is believed to be within the building.⁵

Flooding - External: A general and temporary condition of partial or complete inundation of two or more acres of normally dry land area or of two or more properties (at least one of which is the policyholder's property) from:

- Overflow of inland or tidal waters; or
- Unusual and rapid accumulation or runoff of surface waters from any source; or
- Mudflow; or
- Collapse or subsidence of land along the shore of a lake or similar body of water as a result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels that result in a flood as defined above.⁶

Flooding - Internal: Caused by the events such as broken water pipes, backed up sewer lines, clogged drains, sump pump failures, plumbing fixture failures, open water valves, and other circumstances, within the confines of the structure, causing an accumulation of water throughout.⁷

HazMat Release - External: A hazardous material is any substance or agent (biological, chemical, radiological, and/or physical), which is capable of posing an unreasonable risk to humans, the environment, and property. An external release of said materials occurs externally to the facility, and can be through a number of means, including transportation accident, such as vehicle or rail; an intentional act, where a material has been intentionally released; or any other number of potential scenarios where a material has been released outside of the facility.⁸

1. https://www.dhs.gov/xlibrary/assets/active_shooter_booklet.pdf

2. <https://www.osha.gov/SLTC/biologicalagents/index.html>

3. https://openei.org/wiki/Definition:Cyber_Security_Incident

4. <https://earthquake.usgs.gov/learn/glossary/?term=earthquake>

5. <https://www.merriam-webster.com/dictionary/fire0>

6. <https://www.fema.gov/national-flood-insurance-program/definitions#F>

7. <http://www.capitolcenter.info/pdf/Internal%20Flooding%20Procedures.pdf>

8. <http://emergency.tufts.edu/guide/hazardous-spill/>

Risk Analysis:

Hazard List & Definitions

(All Hazards/Risks should be considered under a credible, worst-case scenario; use history as an indicator)

HazMat Release - Internal: A hazardous material is any substance or agent (biological, chemical, radiological, and/or physical), which is capable of posing an unreasonable risk to humans, the environment, and property. An internal release of said materials occurs within the confines of the facility. This can occur through accidental release and exposure, or through means of malice by an individual.⁸

Hurricanes / Tropical Storm (Tropical Cyclone): A warm-core non-frontal synoptic-scale cyclone, originating over tropical or subtropical waters, with organized deep convection and a closed surface wind circulation about a well-defined center.

- A tropical storm is a cyclone in which the maximum sustained surface (SST) wind speed is 38 mph or less.
- A hurricane is a cyclone which has formed in the Northern Hemisphere east of the International Dateline to the Greenwich Meridian and has a maximum SST wind speed of 74 mph or greater. Hazards from a tropical cyclone depend on the location of the facility being evaluated, and can include coastal flooding/storm surge, flooding from precipitation, and wind damage.⁹

HVAC Failure: HVAC, or Heating, Ventilation, and Air Conditioning, systems are used to provide heating and cooling, as well as adequate air circulation and ventilation to a facility. They also are used to filter particulates from the air to encourage cleaner air for within a location. A failure of one can be either from a mechanical/wear-related issue, such as a belt breaking, a short, or some other related issue; or, it could be as a result of malicious intent, affecting a facility through its HVAC system.¹⁰

IT/Communications Failure: Communication systems are the various processes, both formal and informal, by which information is passed within a facility, or between the entity and external/internal partners.¹¹ IT, or Information Technology, is a system of interconnected devices (equipment) used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information.¹² A failure of either of these systems constitutes a lack of data transmission, loss of the ability to relay messages between individuals, and total system loss, if the failure is significant enough. A failure of IT/Communications systems can be caused through internal means, such as a glitch or equipment malfunction; or, it can be caused by external means, such as power supply issues or cyber incident.

Landslides: The movement of a mass of rock, debris, or earth down a slope. These are a type of "mass-wasting," or any down-slope movement of soil and rock from the direct influence of gravity.¹³

Pandemic or Disease Outbreak: A disease outbreak is an event where a disease occurs in greater numbers than expected in a community or region during a season. An outbreak can occur in a local region, or extend out to numerous countries; and it can last from days to years. A pandemic is an outbreak at a global level. The rate of transmission and effect on individuals varies with each individual and the disease which is being transmitted.¹⁴

9. <https://www.nhc.noaa.gov/aboutgloss.shtml#1>

10. <http://www.businessdictionary.com/definition/HVAC.html>

11. <https://www.inc.com/encyclopedia/communication-systems.html>

12. https://definedterm.com/information_technology_system

13. https://www.usgs.gov/faqs/what-a-landslide-and-what-causes-one?qt-news_science_products=7#qt-news_science_products

14. <https://www.webmd.com/cold-and-flu/what-are-epidemics-pandemics-outbreaks#1>

Risk Analysis:

Hazard List & Definitions

(All Hazards/Risks should be considered under a credible, worst-case scenario; use history as an indicator)

Power Outage—External: A power outage is a short or long-term state of electric power loss in a given area or section of a power grid. It could affect a single house, building, or an entire city, depending on the extent of the damage or cause of the outage. An external outage refers solely to any outage where the source of the outage occurs outside of the building which houses the agency, such as a transformer failing.¹⁵

Power Outage—Internal: A power outage is a short or long-term state of electric power loss in a given area or section of a power grid. It could affect a single house, building, or an entire city, depending on the extent of the damage or cause of the outage. An internal outage refers solely to the building which houses the agency losing power due to some internal failure, such as a breaker tripping.¹⁵

Radiological Fixed Site Release: A fixed nuclear facility is a stationary nuclear installation that uses or produces radioactive materials in its normal operations, and can include power plants and other fixed facilities. A release of materials could be a leak in the containment unit, resulting in groundwater and surrounding area contamination, or it could be as severe as a large-scale release, with potential plume and air contamination.¹⁶

Severe Weather: Severe weather can include numerous hazardous conditions, such as thunderstorms, tornadoes, hail, and more.¹⁷ For the purposes of this program, severe weather will include any and all hazards related to meteorological events, except those that are separately defined, such as “Severe Winter Storm,” “Flooding—External,” and “Hurricanes/Tropical Storms.”

Severe Winter Storm: A prolonged event involving snow or ice. The characteristics of severe winter storms are determined by the amount and extent of snow or ice, air temperature, wind, and event duration.¹⁸

Structural Collapse: When internal load bearing structural elements fail, a building will collapse into itself and exterior walls are pulled into the falling structure. This could be caused by construction activity, earthquake, or fire, and may result in a dense debris field with a small footprint. If a structural collapse is caused by an explosion or natural forces (such as weather), then the collapse may occur in an outward direction, resulting in a less dense debris field with a larger footprint.¹⁹

15. <https://www.techopedia.com/definition/13085/power-outage>

16. FEMA P-1028. *Radiological Emergency Preparedness Program Manual*. January 2016.

17. <https://www.ready.gov/severe-weather>

18. <https://planningforhazards.com/file/675/download?token=aECbrv2t>

19. <https://www.osha.gov/SLTC/emergencypreparedness/guides/structural.html>

Risk Analysis:

Hazard List & Definitions

(All Hazards/Risks should be considered under a credible, worst-case scenario; use history as an indicator)

Terrorism: The unlawful use of force and violence against persons or property to intimidate or coerce a government, the civilian population, or any segment thereof, in furtherance of political or social objectives.²⁰

- **International Terrorism:** Perpetrated by individuals and/or groups inspired by or associated with designated foreign terrorist organizations or nations (state-sponsored).²¹
- **Domestic Terrorism:** Perpetrated by individuals and/or groups inspired by or associated with primarily U.S.-based movements that espouse extremist ideologies of a political, religious, social, racial, or environmental nature.²¹

Water, Sewer, or Natural Gas Failure: A utilities failure is any infrastructure failure that results in the loss of a key utility, for the purpose of this tool that is limited to Water, Sewer, and/or Natural Gas, as other utilities are highlighted as standalone hazards. This loss of utility could be a secondary hazard caused another event, either natural, technological, or human caused; or, it could be a standalone event. These three utilities also pose their own consequences and secondary (or tertiary) hazards, such as loss of potable drinking water, hazardous materials release, and/or explosion/fire.²²

20. <https://www.law.cornell.edu/cfr/text/28/0.85>

21. <https://www.fbi.gov/investigate/terrorism>

22. <http://www.ucapd.org/index.php/utility-failure/>

Hazard/Risk Assessment: Hazard List

TABLE A

For your agency facility, check hazard/risks faced in the past or possible future

- | | |
|--|--|
| <input type="checkbox"/> Active Shooter | <input type="checkbox"/> Biological Agent Release |
| <input type="checkbox"/> Cyber Incident | <input type="checkbox"/> Earthquakes |
| <input type="checkbox"/> Fire - External | <input type="checkbox"/> Fire - Internal |
| <input type="checkbox"/> Flooding - External | <input type="checkbox"/> Flooding - Internal |
| <input type="checkbox"/> HazMat Release - External | <input type="checkbox"/> HazMat Release - Internal |
| <input type="checkbox"/> Hurricanes / Tropical Storms | <input type="checkbox"/> HVAC Failure |
| <input type="checkbox"/> IT/Communications Failure | <input type="checkbox"/> Landslides |
| <input type="checkbox"/> Pandemic or Disease Outbreak | <input type="checkbox"/> Power Outage - External |
| <input type="checkbox"/> Power Outage - Internal | <input type="checkbox"/> Radiological Fixed Site Release |
| <input type="checkbox"/> Severe Weather | <input type="checkbox"/> Severe Winter Storm |
| <input type="checkbox"/> Structural Collapse | <input type="checkbox"/> Terrorism |
| <input type="checkbox"/> Water, Sewer, Natural Gas Failure | <input type="checkbox"/> (Other) _____ |
| <input type="checkbox"/> (Other) _____ | <input type="checkbox"/> (Other) _____ |
| <input type="checkbox"/> (Other) _____ | <input type="checkbox"/> (Other) _____ |

Reset Form

Hazard Rating

Hazard/Risk Assessment Worksheet

Hazard Ranking

HAZARD/RISK _____↑

AGENCY _____↑

1. *Could hazard occur and cause an impact?*
☐ No
☐ Yes
2. *Has hazard occurred and caused an impact?*
☐ No
☐ Yes
3. *Could hazard pose a consequence to employees?*
☐ Highly Likely
☐ Some Potential
☐ No
4. *Could hazard pose a consequence to the facility or assets?*
☐ Highly Likely
☐ Some Potential
☐ No
5. *Has hazard mitigation been performed for this hazard?*
☐ Yes
☐ No

Name of individual completing questionnaire

Title

Date

Scoring Guide	
Hazard Analysis Score	Qualitative Ranking
31 - 40	High Hazard
21 - 30	Moderately High
10 - 20	Medium Low
0 - 9	Low

**NEW YORK STATE
CONTINUITY OF OPERATIONS PLANNING**

**RISK & BUSINESS IMPACT ANALYSIS
JOB AID**



**PREPARED BY THE NEW YORK STATE
OFFICE OF EMERGENCY MANAGEMENT – PLANNING SECTION**

May 2023

Risk & Business Impact Analysis Workbook User Guide

Summary: The DHSES/OEM Risk & Business Impact Analysis Workbook enables an organization to:

- Identify potential hazards/risks
- Analyze hazard impact on mission essential functions (MEFs)
 - ♦ **Mission Essential Function (MEF):** the limited set of Agency-level Government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. This could include functions that are statutory/legislated, support a disaster response, and/or have an effect on the public perception of the agency.
- Measure the loss of a function on an organization
- Rank hazards and MEFs
- Benchmark courses of action for vulnerable MEFs

Planning Team: Executive staff, section and program managers, building/facility managers, and risk and compliance staff.

Application: Each agency facility should perform a risk & business impact analysis in developing a continuity of operations plan. An analysis may be divided among each organizational section that occupies the facility. Agency headquarters and regional offices should conduct a separate analysis.

Support: This workbook supports a maximum of 60 MEFs and 25 hazards/risks. Agencies can choose on their own how to best manage the collection/assessment of MEFs. MEFs should be collected from each individual organizational unit (department, bureau, or section) and assessed in the tool. For smaller agencies (less than 60 MEFs), the entire agency's MEFs may be analyzed in one BIA. For larger organizations, the agency may find it necessary to run multiple BIAs and extrapolate those results into the overall organizational BIA.



Homeland Security and Emergency Services

Emergency Management

The Risk & Business Impact Analysis Workbook enables an organization to:

- Identify and rank potential hazards
- Analyze hazard impact on mission essential functions (MEFs)
- Measure the loss of a function on an organization
- Rank MEFs according to hazard impact
- Benchmark courses of action for vulnerable MEFs


Agency:	<input type="text"/>	Facility Name:	<input type="text"/>	Date:	<input type="text"/>
Facility Street Address:	<input type="text"/>				
City:	<input type="text"/>	County:	<input type="text"/>	State:	<input type="text"/>
				Zip Code:	<input type="text"/>
Planning Team Members:	<input type="text"/>				
Approx. # of Employees:	<input type="text"/>	<input type="checkbox"/> Headquarters	<input type="checkbox"/> Regional Office		Agency Acronym:
					<input type="text"/>

Introduction Form

(Front Dashboard)

Introduction Form: The first page you will encounter is the “Introduction” page. This page is meant as an information page for agency-specific information. For the purpose of convenience, a “**Reset Form**” button is included, for the purpose of emptying the fillable-fields, throughout the entire PDF workbook.

To proceed, use your cursor to enter one of the fillable fields, enter the information, and hit tab to move to the next field. The “Date” field has a calendar function that will open upon entry to the field, it will highlight “Today’s Date”, which can be changed either via mouse or arrow keys. If you use the arrow keys, just strike enter and it will populate the field to the date chosen. “County” and “Approx. # of Employees” are both dropdown fields, where the user can select the option (the user can type in these fields to find the selection). The field “Planning Team Members” should include every individual on the COOP planning team, and can include title, if the team wants to list titles. “Headquarters” and “Regional Office” are option buttons, and one should be selected based upon which location is being assessed.

		Homeland Security and Emergency Services		Emergency Management	
<p>The Risk & Business Impact Analysis Workbook enables an organization to:</p> <ul style="list-style-type: none">• Identify and rank potential hazards• Analyze hazard impact on mission essential functions (MEFs)• Measure the loss of a function on an organization• Rank MEFs according to hazard impact• Benchmark courses of action for vulnerable MEFs					
Agency:	Test Agency of NY		Facility Name:	Location Location Location	
Date:	Jul 5, 2018				
Facility Street Address:	123 ABC Lane				
City:	Albany	County:	Albany County	State:	NY
Zip Code:	12226				
Planning Team Members:	Employee A; Employee B; Employee C; Employee D; Employee E; Employee F; Employee G; Employee H; Employee I;				
Approx. # of Employees:	101 - 500		<input checked="" type="radio"/> Headquarters <input type="radio"/> Regional Office	Agency Acronym:	TANY

Hazard/Risk Assessment

Identify the internal & external hazards that could have an impact on your day-to-day operations, at an individual agency location. Then proceed to answer the attached questions. If a hazard results in an answer of "No" for the first two questions, "Could hazard cause an impact?" and "Has hazard caused an impact?", then do not answer any other questions for that hazard. After all questions have been answered for each hazard, the "Total Hazard Analysis Score" will be produced.

When considering the history of a hazard/risk, we are not simply assessing if the hazard/risk has occurred in history. Rather, we are assessing if the hazard has occurred and has impacted the facility. For example, snow storms or severe weather occur regularly and typically do not impact or physically affect agency facilities. However, if the facility has been impacted by a hazard/risk and has suffered damage, then choose "Yes"; otherwise, the answer is "No".

This process should be completed by the Planning Team for your facility. Each hazard should be weighed individually and as worst-case scenarios. The Planning Team should be using history as a guide, and focus on internal and external hazards. When performing the hazard analysis, each of the hazards considered and how they are scored, should be specific to the location/facility.

Note: Each Hazard-textbox is limited to 35 characters. If hazard names are used similar to what is seen below, they will fit in the textboxes. (Utilities Failure refers to Water, Sewer, & Natural Gas Failure.)

[illegible]

Risk Assessment Ranking

After adding and analyzing the hazards, each hazard will receive a color and a ranking based on the Hazard Risk Score. As seen below, there are four colors and four rankings that a hazard can receive. The color and ranking is applied based upon four score ranges, which can be viewed in the tool under the **“Hazard Analysis Instructions”**. Later in the tool, these rankings will be used to assign a value to be used for the purpose of analyzing MEFs and the hazards that effect them.

Hazard Analysis Tool																						
Hazard	Could hazard occur and cause an impact?				Has hazard occurred and caused an impact?				Does hazard pose a consequence for employees?				Does hazard pose a consequence for a facility or asset?				Has mitigation been performed for the hazard?				Hazard Risk Score	Qualitative Hazard Ranking
Example: Flood	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	13	Med. Low
Active Shooter	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	10	Med. Low
Earthquakes	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	28	Med. High
Fire - External	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	10	Med. Low
Fire - Internal	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	23	Med. High
Flooding - Internal	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No		
HVAC Failure	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	6	Low
IT/Communications Failure	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No		
Pandemic/Disease Outbreak	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	10	Med. Low
Power Outage - External	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	21	Med. High
Severe Winter Storm	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No		
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	0	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes					

Business Impact Analysis - Part I

The purpose of this worksheet is to help identify/rank agency functions, or Mission Essential Functions (MEFs), that are vital to the continuance of the agency operations. The "MEF Value Score", and a corresponding color scale, will be assigned based on the answers provided in the worksheet.

This process should be performed by the Planning Team for your facility. Each MEF should be weighed individually. The Planning Team can use regulations, statutory obligations, and internal controls as guides. When performing the Business Impact Analysis (BIA), each of the MEFs considered, and how they are scored, should be specific to the location/facility.

Business Impact Analysis - Part I																							
Insert the MEF and its Unit as directed below:		Acceptable Level of MEF Downtime:												A statutory/regulatory obligation		Supports a disaster response?		Affects the Public Opinion of the Agency?		MO/Reg Office depends on this MEF?		MEF Value Score	
Mission Essential Functions (MEFs)	Organizational Units																						
Example: Payroll	Example: Operations	None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	36		
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			
		None	<1 hr.	1-12 hrs.	12-24 hrs.	24-48 hrs.	48-72 hrs.	72 hr. to 1 wk.	1 wk. to 1 mo.	>30 Days	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No			

Business Impact Analysis – Part I																					
Insert the MEF and its Unit as directed below:		Acceptable Level of MEF Downtime:										A statutory/regulatory obligation		Impacts a disaster response?		Affects the Public Opinion of the Agency?		Horrific Outcome depends on this MEF?		MEF Value Score	
System Essential Functions (MEFs)	Organizational Units	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No		
Example: Payroll	Example: Operations	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	36	
Covering outage to secure servers 24/7	Server Team	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	36	
Providing support to business critical file cabinet	File Protection Squad	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	27	
Ensures all facilities are clean and safe	Facilities Management	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	20	
Provides biweekly payroll on job site only	Laborer Management Unit	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	8	
Provides ongoing customer assistance on all office systems	Stationary Team	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	20	
Assesses collection of entry & egress to all facilities	Facilities Management	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	27	
Manages collection of personnel throughout security	Entrance & Mobile Management Team	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	5	
Provides staff to EDC during event	Emergency Management Dept.	Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No	14	
		Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No		
		Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No		
		Normal	<1 hr	1-2 hrs	12-24 hrs	24-48 hrs	48-72 hrs	72 hr. to 1 wk	1 wk. to 1 mo	1 mo. to 1 yr	>1 yr	Yes	No	Yes	No	Yes	No	Yes	No		

As with the Hazard Analysis, BIA Part I will assign a color ranking to each of the MEFs based on the MEF Value Score.

These colors are meant to provide a visual aid in highlighting MEFs of higher importance and value to the agency. As seen at left, four colors are used, and they are assigned based ranges in a similar fashion to the Hazard Analysis. A color key is provided on **“BIA—Part I Instructions”**.

The purpose of this worksheet is to help compare hazards to the Mission Essential Functions (MEFs), based upon the Hazard Analysis Ranking and the MEF Value Score. Check to make sure that all Hazards, Hazard Risk Values, MEFs, and MEF Values have been moved appropriately to this worksheet. Then, proceed to analyze each MEF with the hazards that could affect them. This should be performed by the Planning Team for your facility. Each MEF should be weighed individually, and compared only to the Hazards that it is believed would influence that MEF. The Planning Team will assess each MEF and place a checkmark in the box under each Hazard that could affect it. The program will then add up the Hazard Risk Values for the selected Hazards, and then add that value, the "Total Hazard Risk Value", to the MEF Value, producing the "Total MEF Risk Value".

NYS Continuity Planning Program COOP Resource Package

MEF Risk Value Sheet

As with the Hazard Analysis and BIA Part I, BIA Part II will assign a color ranking to each of the MEFs based on the MEF Value Score. These colors are meant to provide a visual aid in highlighting MEFs of higher importance and value to the agency. As seen below, four colors are used, and they are assigned based ranges in a similar fashion to the Hazard Analysis. A color key is provided on **"BIA—Part II Instructions"**.

Business Impact Analysis - Part II																																		
Mission Essential Functions: All MEFs, MEF Values, Hazards, and Hazard Risk Values will be appropriately populated in their corresponding locations. Please proceed through this form by checking the box of each hazard as it corresponds to the MEF you are assessing. The program will add all the Hazard Risk Values together, and add that total value to the MEF Value, producing the MEF Risk Value.	Hazards	Example: Flood	Active Shooter	Earthquakes	Fire - External	Fire - Internal	Flooding - Internal	HVAC Failure	IT/Communications Failure	Pandemic/Disease Outbreak	Power Outage - External	Severe Winter Storm																						
			Hazard Risk Value	5	10	5	10	15	0	15	5	10	15	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Example: Payroll		X																														5	35	40
Ensuring access to secure servers 24/7			✓																													5	34	39
Providing support & logistics to local FDs as needed							✓																									0	27	27
Ensure all facilities are clean and safe			✓		✓	✓			✓		✓																					50	20	70
Provide bi-weekly reviews on job site safety			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓																				90	8	98
Provide working stationary equipment to all Office Assistants				✓			✓		✓																							40	20	60
Maintain safe means of entry & egress to all buildings			✓				✓		✓																							35	23	58
Update website w/ pertinent documents annually			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓																				90	5	95
Provide staff to EOC during event																																0	44	44
																																0		
																																0		
																																0		
																																0		

Essential Functions <i>day-to-day operations</i>		Down Time of Functions		Resources used to perform this function
		Recovery Time Object (RTO) (operations)	Recovery Point Objective (RPO) (data)	
		3 weeks	30 days	
Ex. 1	Example: Payroll			LATS, Server Access, other payroll software
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Lines of Succession Planning

Section Name:			
Mission Essential Staff Position	Primary Backup	Secondary Backup	Tertiary Backup

**NEW YORK STATE
CONTINUITY OF OPERATIONS PLANNING**

Business Process Analysis



**Emergency
Management**

**PREPARED BY THE NEW YORK STATE
OFFICE OF EMERGENCY MANAGEMENT - PLANNING SECTION**

May 2023

Mission Essential Functions – Business Process Analysis

Please name the individual mission essential functions below, and include the corresponding Division/Section within the agency that is responsible for the MEF. Then proceed to the BPA Sheet.

MEF #	Division/Section	Mission Essential Functions & Statement
MEF #1		
MEF #2		
MEF #3		
MEF #4		
MEF #5		
MEF #6		
MEF #7		
MEF #8		
MEF #9		
MEF #10		

Business Process Analysis – Instructions and Topic Details

After completing the MEF List, please proceed to the BPA Sheet and answer the following topics as they correspond to all the MEFs. Details about the particular topics are below:

Line	Process – Narrative or Diagram	Personnel Needed	Mission Essential Systems, Files, Records & Data
Description	<p>Name MEF: Place MEF Name Here</p> <p>Narrative: Highlight the necessary steps to perform the MEF. This can be done through either a narrative format, or a diagram/flowchart can be utilized. If the space provided is not adequate, attach additional documents as needed, and identify within the cell which document applies to each MEF.</p> <p>Ex: Within the Cell: Appendix A1; On the Document: MEF #1</p>	<ul style="list-style-type: none"> Can the task be performed by mid-level or lower-level staff, or does it require leadership/decision-makers/policy makers? <ul style="list-style-type: none"> Is there any formal, and/or statutory, authority required to complete the MEF? 	<p>Identify the necessary equipment/files/records/data to perform the MEF:</p> <ul style="list-style-type: none"> Can the MEF be performed virtually, or does it require on-site computer(s)? Does the MEF require specialized software? Does the MEF require constant external communication? (i.e. Internet connection, Email, etc.)
Line	Critical Resources & Logistics	Dependencies & Interdependencies (Contracts, Vendors, & Supplies)	
Description	<ul style="list-style-type: none"> What resources/supplies/hardware is required to perform the MEF? Is there a need, or a plan in place, to mobilize any/all resources? 	<ul style="list-style-type: none"> What organizations do you rely on to complete the MEF? <ul style="list-style-type: none"> What needs do they fulfill for the MEF Can those needs be met outside of normal business? What organizations rely on the MEF? <ul style="list-style-type: none"> Of those organizations, which ones are of the highest priority, with reference to the need of the MEF? What contracts and/or supplies are needed to complete the MEF? 	
Line	Vital Records	Other (Signatures, Approvals, Time Constraints, Processing Instructions)	
Description	<ul style="list-style-type: none"> What documents/records are needed to perform the MEF? If needed, can they be accessed and/or utilized remotely? 	<p>Utilize this section to add any additional comments, needs, or other information, which was not covered by the other sections.</p>	

Business Process Analysis

Process – Narrative or Diagram

Personnel Needed

Mission Essential Systems, Files, Records & Data

Name MEF:
Narrative:

Critical Resources & Logistics

Dependencies & Interdependencies

Vital Records

Other

MEF #1

Process – Narrative or Diagram

Personnel Needed

Mission Essential Systems, Files, Records & Data

Name MEF:
Narrative:

Critical Resources & Logistics

Dependencies & Interdependencies

Vital Records

Other

MEF #2

Business Process Analysis

Process – Narrative or Diagram

Personnel Needed

Mission Essential Systems, Files, Records & Data

Name MEF:

Narrative:

Critical Resources & Logistics

Dependencies & Interdependencies

Vital Records

Other

MEF #3

Process – Narrative or Diagram

Personnel Needed

Mission Essential Systems, Files, Records & Data

Name MEF:

Narrative:

Critical Resources & Logistics

Dependencies & Interdependencies

Vital Records

Other

MEF #4

Business Process Analysis

Process – Narrative or Diagram

Personnel Needed

Mission Essential Systems, Files, Records & Data

Name MEF:
Narrative:

Critical Resources & Logistics

Dependencies & Interdependencies

Vital Records

Other

MEF #5

Process – Narrative or Diagram

Personnel Needed

Mission Essential Systems, Files, Records & Data

Name MEF:
Narrative:

Critical Resources & Logistics

Dependencies & Interdependencies

Vital Records

Other

MEF #6

FACILITY

- Is the site a: Hot Site, Warm Site, Cold Site, or Telework Site?
- Are the primary & alternate facility in the same geographic risk area?
 - Does the alternate facility & primary facility rely on the same critical utility service (electricity, transportation, & telecommunication)?
- Are there emergency/back-up power capabilities?
- What is the generator capacity at the alternate facility; can it accommodate a full or partial workload?

CAPABILITIES

- Are there identical system capacities with the latest updates?
- Is there interoperable communication present (internal & external)?
- Is the facility "Turn Key" & can it provide reasonable accommodations for 30 days or more?
- What is the capacity of the facility; does it require shift work, or can it facilitate the entire workforce?
- Does the facility have secured access?
- Is there adequate information security at the site?

AREAS TO CONSIDER WHEN EVALUATING AN ALTERNATE FACILITY

EMPLOYEES

- Are there multiple routes to the facility?
- What is the primary method of transportation to the site?
- Will staff be able to navigate to the facility's location?
- Is there adequate parking?
- Is the facility handicap accessible?

SUSTAINMENT

- Is there reliable logistical support & infrastructure available?
- Are essential support resources available & sustainable for 30 days or more?
- What are the housing capabilities near the facility?

**NEW YORK STATE
CONTINUITY OF OPERATIONS PLANNING**

Alternate Facility Evaluation Form



**PREPARED BY THE NEW YORK STATE
OFFICE OF EMERGENCY MANAGEMENT - PLANNING SECTION**

May 2023

Alternate Facility Evaluation Form

Introduction and Instructions:

Purpose: To provide a checklist for identifying and assessing an alternate facility for day-to-day operations for the agency. The data collected about the facility will be used to determine a facility's suitability as an alternate location from an all hazards approach.

Facility Information

Facility Name: _____

Street Address: _____

City: _____ Zip Code: _____

Facility Owner/Operator: _____

Facility Contact- Business Hours

Primary-Name: _____

Work Phone: _____ Email: _____

Cell Phone: _____ Additional Contact: _____

Alternate-Name: _____

Work Phone: _____ Email: _____

Cell Phone: _____ Additional Contact: _____

Emergency Contact 24/7

Primary-Name: _____

Work Phone: _____ Email: _____

Cell Phone: _____ Additional Contact: _____

Alternate-Name: _____

Work Phone: _____ Email: _____

Cell Phone: _____ Additional Contact: _____

Location Specifications

Is the Facility subject to the same risks as the primary facility:

Yes ☐ No ☐

Is the facility owned by the agency or is the facility contracted through OGS:

Owned by Agency ☐Contracted through OGS ☐Private Contract ☐Other ☐ _____Is the space occupied and/or identified as an Alternate Facility for another entity: Yes ☐ No ☐ Both ☐Square footage available in primary work area (approx. 40ft² per person): _____

Layout of primary work area (office, warehouse, etc.): _____

Number and characteristics of supplemental rooms or work area; please note if rooms could accommodate sleep/respice: *Indicate below***Room/Area #1**How many people can it accommodate:

Total sq. ft.: _____

Office Equipment (i.e. cubicles) ☐**Room/Area #2**How many people can it accommodate:

Total sq. ft.: _____

Office Equipment (i.e. cubicles) ☐**Room/Area #3**How many people can it accommodate:

Total sq. ft.: _____

Office Equipment (i.e. cubicles) ☐**Room/Area #4**How many people can it accommodate:

Total sq. ft.: _____

Office Equipment (i.e. cubicles) ☐

Is the Facility compliant with current Americans with Disabilities Act (ADA) Guidelines?

- Elevators

- Automatic Doors

- Etc.

- Ramps

- Accessible Restrooms

Yes ☐ No ☐**Exterior/Perimeter/Lighting**

Does any exterior or perimeter light have an independent auxiliary power source as required by the jurisdiction having authority, or based on a state or local law enforcement security assessment?

Yes ☐ No ☐

Does the interior/exterior have sufficient lighting to maintain a safe work place as required by the jurisdiction having authority?

Yes ☐ No ☐Is parking available? *Indicate number of spaces below*Yes ☐ No ☐

Number of spaces (free): _____

Number of spaces (paid): _____

Utilities

Is there adequate power with backup to operate essential functions?
(i.e. AC, heat, elevator)

Yes ☐ No ☐

Are back-up generators located on the physical site?

Yes ☐ No ☐

Are an adequate number of qualified individuals available to operate and monitor the backup generator(s) per OSHA and the jurisdiction having authority requirements?

Yes ☐ No ☐

Does facility have operational HVAC system?

Yes ☐ No ☐

HVAC Fuel Source: Oil ☐ Propane ☐ Natural Gas ☐ Other ☐ Please describe below:

Amenities

Restrooms: *Indicate specific numbers below*

Yes ☐ No ☐

Male: _____ Female: _____ Unisex: _____ Accessible: _____

Showers: *Indicate specific numbers below*

Yes ☐ No ☐

Male: _____ Female: _____ Unisex: _____ Accessible: _____

Are break areas available?

Yes ☐ No ☐

Does facility have a kitchen/vending?

Yes ☐ No ☐

Is the facility accessible by mass transit? *Indicate specific resources below with distance from facility*

Yes ☐ No ☐

Bus: Yes ☐ No ☐ Distance: _____

Subway: Yes ☐ No ☐ Distance: _____

Other: Yes ☐ No ☐ Distance: _____

Does the facility have contracts with janitorial services?

Yes ☐ No ☐

Are there Hotels/Motels within one mile?

Yes ☐ No ☐

Is there restaurant/grocery/ATM available 24/7 within 2 miles?

Yes ☐ No ☐

Communications

Phones Yes ☐ No ☐
If Yes How Many
Ports: _____

Internet
Yes ☐ No ☐
of Data Ports: _____

Public Wi-Fi ☐
ITS Enterprise
Network ☐
Standard Office
Equipment ☐
ADA Compliant ☐

Phones Yes ☐ No ☐
If Yes How Many
Ports: _____

Internet
Yes ☐ No ☐
of Data Ports: _____

Public Wi-Fi ☐
ITS Enterprise
Network ☐
Standard Office
Equipment ☐
ADA Compliant ☐

Phones Yes ☐ No ☐
If Yes How Many
Ports: _____

Internet
Yes ☐ No ☐
of Data Ports: _____

Public Wi-Fi ☐
ITS Enterprise
Network ☐
Standard Office
Equipment ☐
ADA Compliant ☐

Phones Yes ☐ No ☐
If Yes How Many
Ports: _____

Internet
Yes ☐ No ☐
of Data Ports: _____

Public Wi-Fi ☐
ITS Enterprise
Network ☐
Standard Office
Equipment ☐
ADA Compliant ☐

Are additional tables/chairs available for use? *Indicate amounts below*

Yes ☐ No ☐

Tables: _____ Chairs: _____

Is there a telephone system in the facility? *Indicate provider and contact
information below and whether or not a VOIP phone can be connected*

Yes ☐ No ☐

Provider: _____

Is there a radio system in the facility? *Indicate systems information below*

Yes ☐ No ☐

Is there a public-address system in the facility?

Yes ☐ No ☐

Is Internet available for Agency use in the facility? *Indicate specifics below*

Yes ☐ No ☐

Are fax machine/copier/scanner resources available? *Indicate specifics below*

Yes ☐ No ☐

Fax machine ☐ Copier ☐ Scanner ☐ Other ☐ _____

Security/Safety

Is there 24/7 security? *Indicate Specifics below*

Yes ☐ No ☐

Key-card access control ☐

Alarm system ☐

Physical security presence ☐

Other ☐ Please describe: _____

Is the facility available 24/7?

Yes ☐ No ☐

How is the facility accessed *Indicate below* (key, key-card, locked gate, etc.)?

Key ☐

Key Card ☐

Other ☐ Please describe: _____

Key code ☐

Guard gate ☐ _____

Primary POC For Granting Access:

Who is responsible for facility access control? *Indicate below*

Name: _____

Phone Number: _____

E-mail: _____

Outside provider ☐

Internal

No formal access

Other ☐

Please describe: _____

Security ☐

control ☐

Please Describe: _____

Does a security barrier limit or control vehicle or pedestrian access to the facility?

Yes ☐ No ☐

Is there a fire and safety plan per the jurisdiction having authority?

Yes ☐ No ☐

Does the facility have a fire suppression system if required by the jurisdiction having authority? *Indicate below*

Yes ☐ No ☐

Sprinkler system ☐

Fire Extinguishers ☐

Other ☐ Please describe: _____

Does the facility have first aid equipment if required by the jurisdiction having authority? *Indicate below*

Yes ☐ No ☐

First Aid Kit ☐

Automated External Defibrillator

Other ☐ Please describe: _____

(AED) ☐

Proximity to nearest Medical Facility/Hospital. *Indicate distance and location below*

Location: _____

Distance: _____

Photos: (Include location and description)

Photo 1: Would you like to add a photo of the Facility? Yes ☐ No ☐

Photo 2: Would you like to add another photo of the Facility? Yes ☐ No ☐

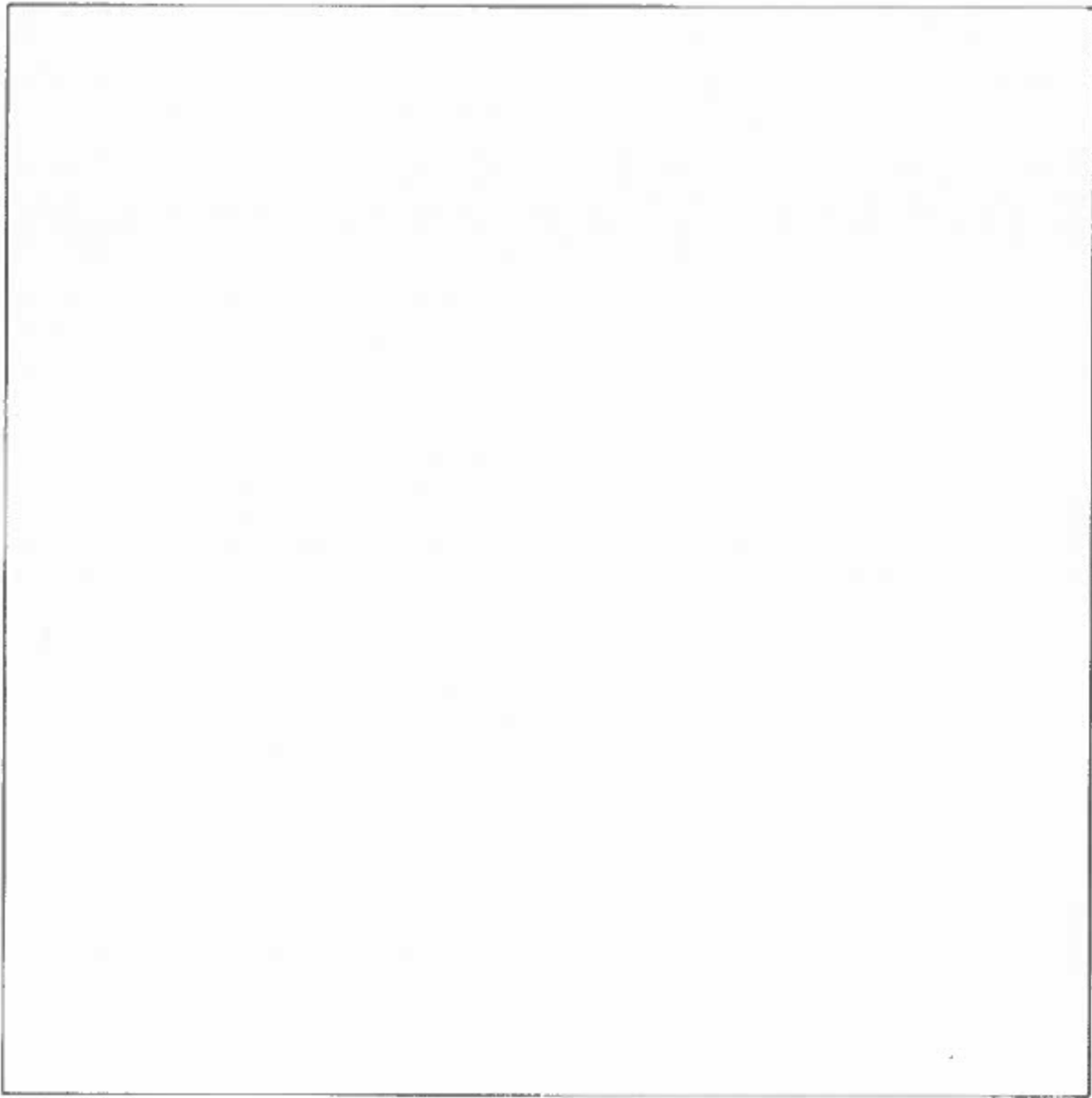
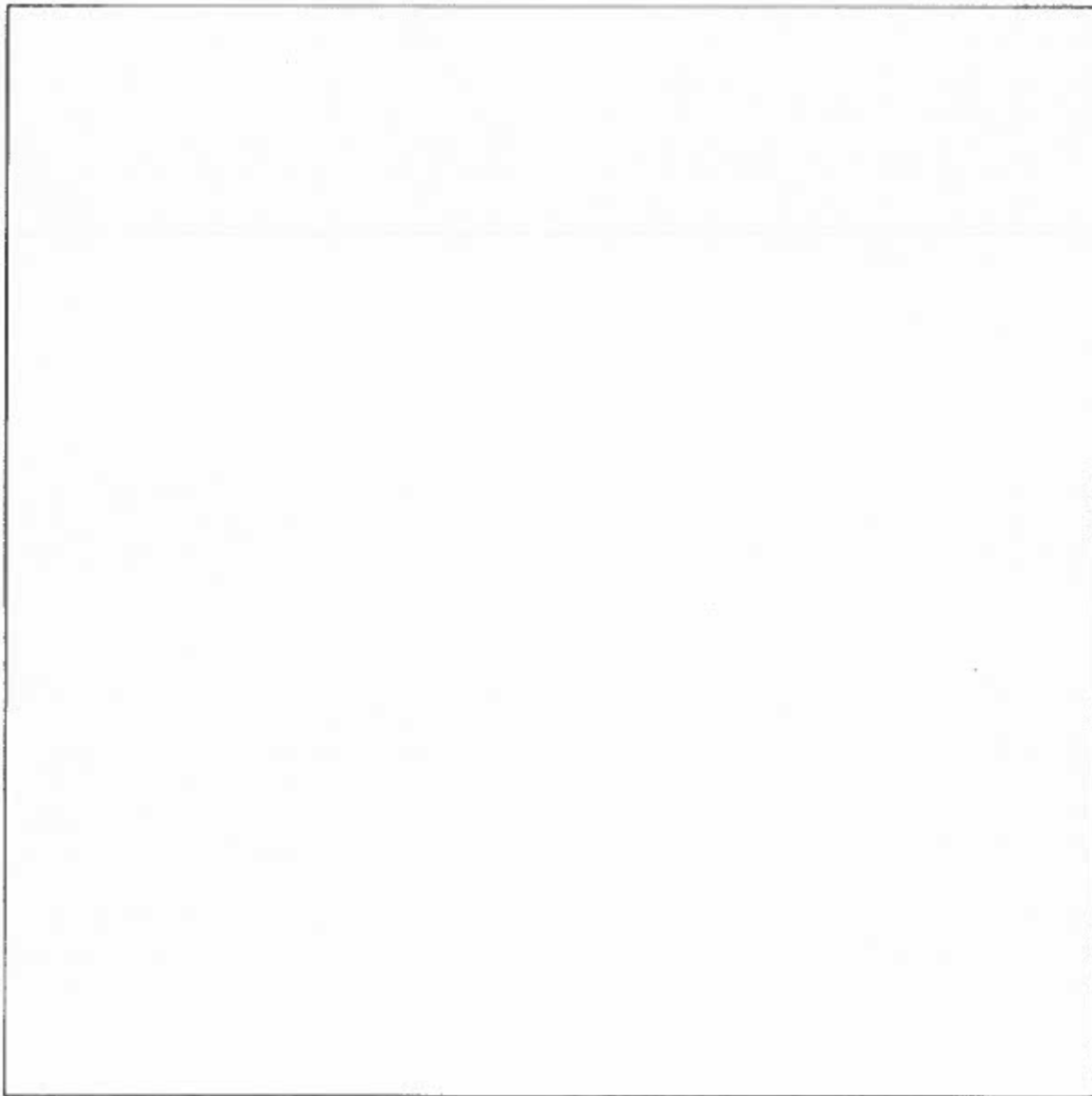


Photo 3: Would you like to add another photo of the Facility? Yes ☐ No ☐



Signature Page

Participants conducting review of potential _____ Alternate Facility.

The signatories below concur with the _____ Alternate Facility review and the information gathered in this checklist. Additional participants can be added to an additional page.

Signature: _____ Date: _____

Name: _____ Title: _____

Agency: _____

Signature: _____ Date: _____

Name: _____ Title: _____

Agency: _____

Signature: _____ Date: _____

Name: _____ Title: _____


Agency: _____

Signature: _____ Date: _____

Name: _____ Title: _____

Agency: _____

Proposed follow-up date: _____
(This is the proposed follow-up date to correct any gaps or deficiencies found during the initial review.)



Homeland Security
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Westchester County Continuity Planning Workshop


Overview Provided By the NYS Office of Emergency Management

January 25, 2024

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Learning Objectives

- Identify what the NYS Continuity Planning Program is built on.
- Define Continuity of Operations, Continuity of Government and related plans
- Identify key elements of continuity planning, including
 - Mission Essential Functions are and how to write them
 - Lines of Succession planning and practices
 - Provide some overview of the analyses required as part of the Continuity Planning Process.
- Describe what Vital Records are and the importance of IT functions in this planning process
- Describe the application of Devolution and Delegation of Authority




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Authorities, Regulations, & Guidance



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Laws, Regulations, and Guidance

- Civil Defense Act (COG)
- State Constitution
- NYS Executive Law, Article 28, §27
- NYS Labor Law, Article 2, §27-C (Ch. 168 of 2020)
- Sarbanes-Oxley 2002
- Federal Preparedness Circular (FPC) 65 and 67
- HSPD-20/NSPD-51 Federal Continuity Directives, Continuity Guidance Circular
- NFPA 1600 – Standard on Continuity, Emergency, and Crisis Management
- BS 25-777, BS 25-999, and ISO 22301
- Standards and practices from DRIL, ICOR, and NIST
- NYS Continuity of Operations Planning Guide and Outline
- NYS Continuity of Operations Resource Guide



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NYS Labor Law, Article 2, §27-C

□ An amendment to the NYS Labor Law requiring public employers to adopt a plan for operations in a declared public health emergency involving a communicable disease

- Required elements:
- A list/designation of NE staff (non-NE) and a justification of such designation for a job position and title included
 - How the agency will address non-essential employees (and contractors) including telecommuting provisions, technology, teleworking office phones, and purchasing if required
 - How the employer will stagger work shifts of essential employees (and contractors) with the goal to reduce overcrowding on public transportation systems and at workplaces
 - How the employer will procure and store 6 months of the appropriate personal protective equipment for each essential employee (and contractor) for use during any given work shift
 - Actions that agency will take in the event someone becomes ill including the action they will take to sanitize the workplace and the employee policy on the use of leave
 - A protocol for documenting (arrows) hours and work locations including off-site visits for essential employees to aid in tracking disease exposure
 - Identify how the agency will work with local government to identify, test for emergency illness to prevent further spread of the disease
 - Any other requirements determined by the NYS DOH
 - Employees must be provided the opportunity to comment on the plan
 - Plan is to be continuously posted in an employee handbook/handout and accessible on the internet (intranet) for employees
 - The legislation also amends NYS Education Law, Regulation 155.17, relating to certain protocols for responding to a declared public health emergency involving a communicable disease



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Emergency Management Accreditation Program Review/COOP Significance



NYS Continuity Program recognized by EMAP as a national best practice



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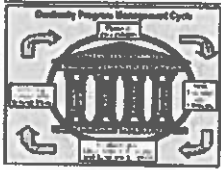
Introduction to Continuity Planning

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Continuity of Operations Planning (COOP)

- An ongoing process supported by senior management and funded to ensure that the necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and recovery plans, and ensure continuity of services through personnel training, plan testing, and maintenance



- COOP is not IT/DR Planning


Source: National Association for Organizational Resilience (NAOR)

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Application of COOP/COG Efforts

- Enterprise-wide: Agencies support one collective plan and are reliant upon one another in that plan
 - Example: One overall jurisdictional plan where agencies "piggy-back" on one another
- Individual or agency-specific: Each agency prepares its own COOP.



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A few key terms

- COOP is continuity planning for an agency or organization.
- COG is continuity planning for elected officials
- Business Continuity Planning (BCP) is continuity planning for a business.
- No matter what it's called, it's all about maintaining functions.

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Occupant Emergency Plan (OEP)

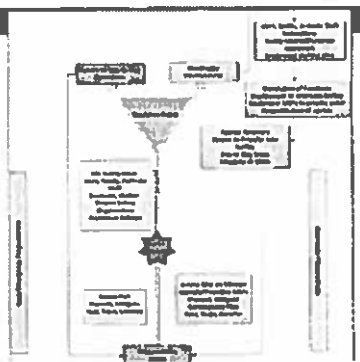
- The OEP is an established set of procedures that addresses specific emergency conditions
- Written OEPs are required in facilities of 11 employees or more (29 CFR 1910.38)
- The OEP and the COOP are "stand-alone" documents that can be activated both concurrently or separately
- Any link between the two plans should be addressed in the COOP

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How does it all work?


OEP is Activated



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Key Plan Development Steps




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Develop a Planning Team: Cross-Functional Team






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Identify Mission Essential Functions (MEFs)



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Mission Essential Functions (MEFs)

- "The limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities."
(NYS, Continuity of Operations Plan (COOP) Resource Guide 2017)
- Identifying and prioritizing MEFs is a required element in continuity planning.
- The downtime of each MEF must be identified
- There are no exceptions to this standard.

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MEFs – NYS Concept

- What is the agency required to do?
- What does the agency do that supports the response to an emergency?
- What is the agency required to do from a political standpoint?
- Separate out what's nice to do versus what's required.
- Internal control program.

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A Few Things to Consider About MEFs

- They are the functions that must be performed or recovered during a disruption, regardless of impact.
- They should have established downtimes or zero downtime.
- MEFs must be prioritized and approved by leadership.
- The process to identify MEFs MUST happen at all levels of the organization (i.e. section or department).

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Too Many or Not Enough

Everyone runs the risk of ...

1) Being over-inclusive:

Too many functions + limited resources = not being able to perform all MEFs

2) Being under-inclusive:

Failure to identify MEFs + absence from the COOP = possibility of not being performed during a continuity environment

Work with management to confirm all functions are referenced and let the process handle the rest

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Conduct Risk,
BPA, and BIA
Analyses

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Understanding Risk

Identifying Risk

Risk Assessment

Mitigation/Prevention

Prioritization & Decision Making

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Risk & Business Impact Analysis Tool

- Complete the facility assessment form prior to conducting the risk assessment.
- Conduct a risk assessment of your primary operating facility.
- Assess both internal and external risks that may impact the facility.
- Do the same for all secondary or regional offices.

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Business Process Analysis or BPA

- Simply put, a BPA is the material, supply, person, equipment, technology, or record that is needed to support the functionality of the MEF.
- Conducting a business process analysis is a required element in continuity planning
- This will allow all known dependencies/interdependencies, logistical support, and reliance (such as technology) to be documented.

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NYS BPA Sheet

- A BPA is performed to ensure that the right people, equipment, capabilities, records, and supplies are identified and available where needed during a disruption so that MEFs can be resumed quickly and performed as required

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How to Prioritize MEFs

- Political sensitivity
- Best guess
- Legacy information
- Mission du jour



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Benefits of Conducting a Business Impact Analysis

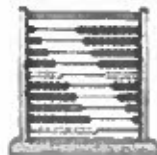
- Identifies the order to restore functions
- Minimizes subjective inputs into the order of priority of functions.
- Helps provide a process to restore operations during a response.
- Can lead to the development of recovery strategies for functions.

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Business Impact Analysis (BIA)

- BIA can prioritize MEFs based on the impacts or loss to the organization.
- It can validate or exclude the function that has been identified
- Conducting a business impact analysis is a required element in continuity planning



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BIA for MEFs – NYS Concept

- A Statutory Obligation Codified in State or Local Law
- Supports the Capability to Respond in Support of a County or State Disaster Response
- Support an Organization's Ability to Maintain its Presence in the "Government Marketplace"
- Reliance on Headquarters/Regional Office

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A BIA versus a BPA

- A BIA is a measurement or rank of the loss of the function on the organization.
- A BPA is the "stuff" that is needed to support the MEF
- The BIA and BPA do not inform one another, nor do they replace one another.
- The BIA and BPA are linked to the MEFs – so we need to get the MEFs right!

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Lines of Succession

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Lines of Succession

- Lines of succession are a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.
- Each MEF has an MEF "owner".
- Succession allows for an orderly and predefined transition of leadership.
- Challenging, but aim for at least 3 deep for each essential staff position.
- Appropriate individual(s), prerequisite training, and legal authority for decision making must be taken into consideration.

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Vital Records & Information Technology

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Vital Records

- Electronic and hardcopy documents, references, and records that are needed to support essential functions during a continuity situation.
- The two basic categories of vital records are: (1) emergency operating records and (2) rights and interest records. *May be linked to MEFs.*
- Rights and Interest Records:
 - Records critical to carrying out an organization's essential legal and financial functions.
 - Vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities. (FEMA, CGC 12013)

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What is a Vital Record

- Records that support or are tied to MEFs
- HR/personnel data, grants, legal documentation, and contractual information
- Plans, reports, inspection data, contact lists
- Your COOP
- NYS documentation retention policies.
 - General schedule/starting point at http://www.archives.nysd.gov/common/archives/files/General_Schedule_2016.pdf
 - Most stuff can be discarded after 3 - 7 years but really depends on what it is and how old. Anything 15+ years old can go.
 - Anything newer would need to be reviewed to determine whether or not it falls into a special retention category that would require longer retention.
- Link the priority of restoration of vital records to the priority of restoration of MEFs



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Continuity Communications

- Should be able to support the organization's senior leadership while they are in transit to alternate facilities.
- Should be able to support the continuance of MEFs
- Should be reviewed annually to ensure they are fully capable of supporting essential functions.

Questions to Ask

- Is there redundant communication consistent with the downtime of your MEFs?
- Are things as basic as computers and network access discussed?
- Are the communications and systems interoperable?



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Off-Site Storage and Backup Data

- Any agency/organization COOP should be linked to its Information Technology (IT)/Disaster Recovery (DR) Plan
- IT redundancy, data backup (frequency/type), and mirrored capability are key
- Consider off site document storage, cloud computing, flash drives, and CDs for retaining data for use during continuity operations



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Off-Site Storage and Backup Data

- Be specific about the backup of your data
 - Frequency and type
 - Quantity and quality
 - All of your data or just email?
 - Recovery date (7 days)



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The Role of Information Technology Services in COOP

- Not to write your agency COOP
- Agencies should prioritize their critical applications consistent with MEF priority
- Restoration would be in order of priority
- Work with your IT agency to do this
- ITS plans for redundancy and restoration of those applications



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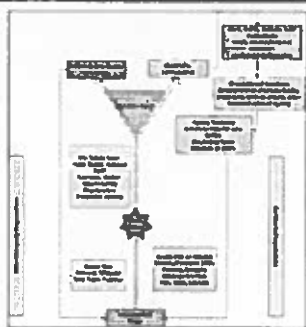
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Response & Activation Planning



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Do We Activate The COOP or Not?



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Examples of COOP Triggers

- Scenario / Disruption	- Decision Maker	- COOP Activation
Complete loss of a building or access to the building	Agency/Organization Executive	Yes
Loss of workspace for >4 hours	Agency/Organization Executive, Section Heads	Possibly
Loss of the phone/IT system >1 hours	Agency/Organization Executive, ITS Staff	Yes
Loss of >50% of staff	Agency/Organization Executive	Yes
Any incidents deemed by the Agency Executive	Agency/Organization Executive	Yes

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Outline for Writing the COOP Response Plan

Critical Recovery Tasks

- This section describes the action steps to implementing the continuity plan
- Provides defined actions of leadership.

- 1. **Identify the need to set an RSP.**
- 2. **Establish a relationship with relevant people.**
- 3. **Identify the relevant people.**
- 4. **Identify the relevant people.**
- 5. **Identify the relevant people.**
- 6. **Identify the relevant people.**
- 7. **Identify the relevant people.**
- 8. **Identify the relevant people.**
- 9. **Identify the relevant people.**
- 10. **Identify the relevant people.**

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Use of Incident Command System in a COOP Event

- This is Direction and Control and a command structure.
- Example of ICS application:

Agency Administrator/Incident Commander: oversees the continuity response

Operations/Continuity Program Manager: ensures efforts drive toward maintenance of MRP

Engineer (Staffed by CPT): provides status reports, updates, and briefings to leadership

Logistics (Staffed by CPT): provides operational support, equipment, supplies, materials and transportation of all resources

Finance and Administration/Finance and Procurement Staff: ensures resources for purchases, procure necessary items, and ensures funding source are intact

Information, Public Affairs Staff: coordinates media, correspondence with other agencies, stakeholders, and external and internal partners

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Outline for Writing the COOP Response Plan

- Example of agency/organization response levels based on scope and magnitude of an incident

Response Level	Disruption	ME's Impeded	MEF Recovery Period	COOP Activation
Severe State	None	Normal Operations	N/A	N/A
Response Level 3	Minor	> 4 hours off line	< 12 hours	N/A
Response Level 2	Moderate	> 12 hours off line	< 24 hours	Partial
Response Level 1	Major	> 48 hours off line	Days, weeks, months	Full

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Devolution & Delegation of Authority

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Clarify Terms

- Devolution and Delegation of Authority are NOT the same thing.
- Devolution is INTERNAL to the organization.
 - Handing off to other staff or regional office is INTERNAL
- Delegation is EXTERNAL to the organization.
 - Handing off to another agency is EXTERNAL

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Application for Devolution

- Federal concept of handing off MEFs while agency mobilizes to alternate work site – 12 hrs/up to 30 days
- Alternate work site = 250 miles away.
- The primacy of local government - applicability is on an individual basis.

Application of Delegation of Authority

- Would likely occur at the local level if personnel are impacted by the event.
- Generally unlikely at the State level.
- Concept comes from Federal mandate to Federal agencies on how to manage a continuity environment.

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Questions

Thank you for your time!

- We are here to help!



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Order of Continuity of Operations Forms

1. Facility Assessment Form
 - Should be done prior to the risk assessment
2. Risk Assessment Tool:
 - Use Table A to identify risks The Planning Team will assess;
 - Use Hazard/Risk Worksheet to document answers from the group
3. Mission Essential Functions
 - Downtimes and files, records, and data should be obtained
4. Lines of Succession
 - Identify mission essential staff person(s) and their succession, 3 layers deep
5. Business Process Analysis (BPA)
 - The source of some of this information will come from the MEF forms
 - Use this to check the scope of your MEFs; prepare to par down or broaden your MEFs as needed
6. Business Impact Analysis (BIA)
 - The BIA is conducted after performing the BPA of each MEF
 - It is used to validate/confirm priority of MEFs
 - The results help to identify mitigation strategies to preserve the function and develop contingencies to sustain it
7. Priority of Restoration and Safeguarding Critical Applications
 - The source of some of this information will come from the BPA and/or the MEF forms
8. Priority of Restoration and Safeguarding Vital Records
 - The source of some of this information will come from the BPA and/or the MEF forms
9. Alternate Facility Assessment Form
 - Complete a risk assessment for the alternate facility

Example Mission Essential Functions (MEFs)

1. Maintain the ability to respond.
2. Maintain State's national emergency management accreditation under the Emergency Management Accreditation Program (EMAP).
3. Management of grants.
4. Maintain State Watch Center Radiological Emergency Communications System and Executive Hotlines for Alert and Notification of incidents.
5. Maintaining vehicle, equipment, supplies.
6. Inspect livestock to ensure safety of food supply chain.
7. Maintain adequate supply of coffee, water, and food items for the Albany office location.
8. If affected, and as necessary, ensure all staff members and family have appropriate shelter options.
9. Ensure that all agency vehicles are accounted for and have adequate fuel available.
10. Ensure communications equipment is available to supervisors.
11. Maintain accurate records of all COOP-related financial obligations for the Albany, Buffalo, and Binghamton locations.
12. Provide for critical government services that address the health, safety, and welfare needs of New York State.
13. Enforce code compliance.
14. Maintain readiness.
15. Maintain essential contractor services to include maintenance of facility and grounds, supply orders, and food services.
16. Manage and provide communications to all personnel.
17. Provide emergency public warnings of severe weather and emergency situations.
18. Review, coordinate, and facilitate emergency preparedness training for the public and private sector.
19. Maintaining EOC management.
20. Maintain Emergency 911 Communications.
21. Maintain the security of the facility.
22. Maintaining payroll.
23. Manage the State Emergency Operations Center (SEOC).
24. Maintain ability to issue payroll to employees, including regional offices.
25. Administer payroll.
26. Ability to communicate in general (between state agencies, counties, public).
27. Maintain compliance with all applicable municipal, county, and State legal requirements.
28. Maintain training programs.
29. Provide personnel to serve as a Liaison with Federal, State, and local response entities in the State EOC.
30. Provide the Governor's Office with an initial damage assessment to determine if an event should be declared a State of Emergency.