

# BCIC Sample Plan

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## /Sample Agency

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## **Approvals**

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<b>Approved By</b>	<b>Title</b>	<b>Date</b>
Edward Lee	Principal Planner	09/06/2018
Edward Lee	Principal Planner	09/06/2018



## 1.0 Plan Overview

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### 1.1 Mission Statement

### 1.2 Scope

Business Continuity Plans (BCPs) document the activities and information required to recover operations in the event of a disaster or crisis situation while minimizing the additional service disruption and/or financial losses. BCPs are designed to provide for geographical diversity requirements, workplace recovery, work around procedures and other methods to maximize continuity of business operations in the event of a disruption. The plans must be aligned with the criticality rating as identified in the Business Impact Assessment (BIA) results.

#### Guiding Principles

The following principles will serve as an overall guide for managing an incident of significant adverse event:

- The first priority is the safety and security of our employees, contractors, customers, clients, families, and communities. During an incident, addressing physical security and safety, as well as the psychological wellness of those we serve is critical.
- The second priority is the continuity of our businesses and preservation of our brands. This includes consideration of all business assets, whether financial, physical, or knowledge-based owned or entrusted to us.
- The third priority is the restoration and/or replacement of business operations and/or assets lost or damaged during an incident.

### 1.3 Objectives

The purpose of a well-designed COOP Plan is to minimize interruption of critical operations if an internal or external disruptive event were to occur. By having an effective COOP Plan in place, the organization can resume its core activities within an acceptable period following such an incident. The COOP Plan allows the organization to shift efficiently from its normal structure and organization to one that facilitates rapid recovery and continuation of services. The ability to make this shift immediately is critical for the organization to continue as a viable and stable entity during a crisis. The objectives of the COOP Plan are to:

- Establish policies and procedures
- Identify and pre-arrange use of an alternate facility
- Assure safety of all personnel
- Provide communication and direction to stakeholders
- Minimize the loss of assets, resources, critical records and data
- Build infrastructure to support a timely recovery
- Manage the immediate response to an emergency effectively
- Achieve an orderly recovery from continuity of operations
- Provide information and training for employees regarding roles and responsibilities during an emergency; and
- Maintain, exercise and audit the COOP Plan at least annually

This plan includes guidance for staff that may respond to an outage or disruption of a business process due to an event. Section staff would be responsible for reestablishing critical essential functions (services to the general population and for internal purposes) immediately following an event. This document shall provide guidance for directing and controlling all key functions disrupted by an event.

### 1.4 Criticality Rating Scale



This rating is used on a statewide level to classify the business processes for your organization.

**Critical** - Loss of this business function threatens the ability for the state to operate. Loss of business function disrupts the security and well-being of the state.

**Significant** - Loss of these business functions significantly reduces the effectiveness of the States' operations. Loss of business function has a negative citizen impact and affects the financial well-being of the state.

**Moderate** - Loss of business function affects multiple state agencies/school districts and their ability to operate. Loss of business function has a negative citizen impact.

**Limited** - Loss of this business function is limited to only the person or department using the application. Loss of this business function has little or no effect on the States' ability to carry on business.

**Minimal** - Loss of business function does not have a direct impact on the department's ability to do business.

## 1.5 Plan Assumptions

- Assume a complete loss of a single facility during peak processing periods (exception for buildings that are physically joined).
- Incidents are normally on lesser proportions with recovery being accomplished within the damaged site using alternate internal resources.
- Personnel with general knowledge of the critical business and technical functions will be available following a disaster.
- Plans reflect high-level business functions, but may also refer to detailed processes.
- Vital Business Records – Records containing information essential to a firm's success or survival and whose loss or inaccessibility could cause significant business interruption and/or monetary exposure. Vital records could be computer data or non-computer related records such as paper documents, forms, microfilm, fiche, etc.
- File Backup – All data files required to recover computer operations are backed up on a regular basis and shipped to off-site
- Maintain sustained operations for up to 30 days
- Should take maximum advantage of State government infrastructures
- Must be capable of implementation with or without warning

## 1.6 Security and Privacy Statement

This document is for OFFICIAL USE ONLY.

The organization will distribute copies of its COOP Plan on a need to know basis. In addition, copies of the plan will be distributed to other organizations as necessary to promote information sharing and facilitate a coordinated inter-organizational COOP effort. Further distribution of the plan, in hardcopy or electronic form, is not allowed without approval from management. The Continuity Coordinator will distribute updated versions of the COOP Plan annually or as critical changes occur.

To submit recommended changes to this document, contact the \_\_\_\_\_, Continuity Coordinator(s).



## 1.7 Publication and Dissemination

Purpose of this table is to store information on who this plan was provided to, how many copies of the plan were provided and when it was issued.

The following table displays information if this plan is stored off site and where it is stored.

### COOP Plan Distribution List

Name	Title	Department	Date Issued	Number of Copies

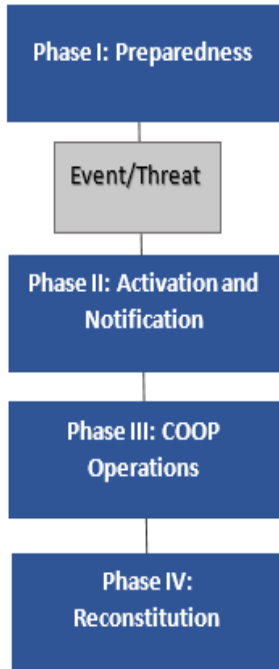
Location	Address	Date Issued	Number of Copies



## 2.0 COOP Phases

This plan can be fully implemented within established recovery time objectives and can provide guidance for sustaining operations for up to 30 days or until normal operations can be resumed. This section addresses how the organization will implement its COOP Plan and how it will address COOP elements found in the 4 phases illustrated below:

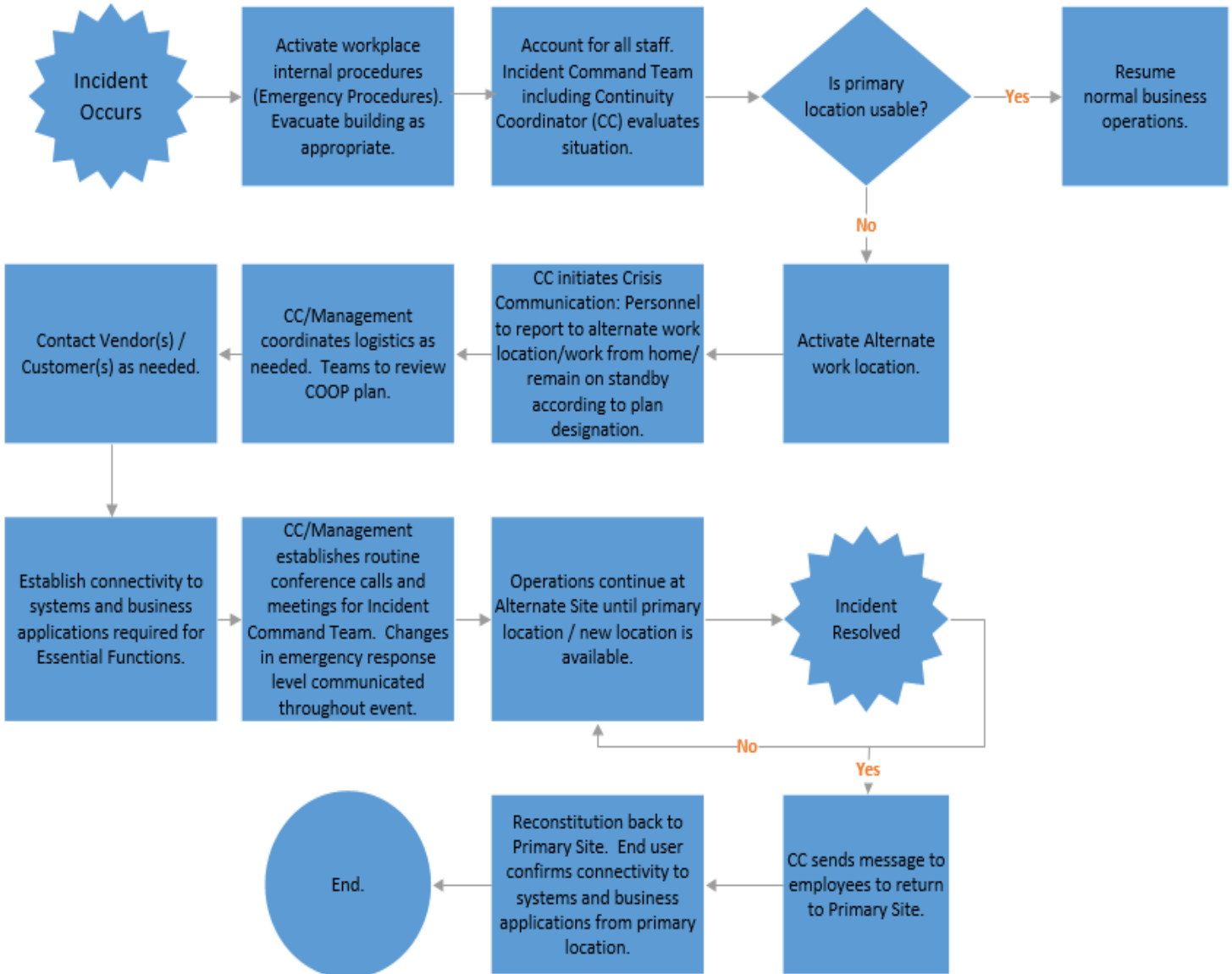
### Continuity Plan Operational Phases Implementation







Depending on the situation, a COOP event may occur as follows:





## 2.1 Phase I: Preparedness

The organization participates in a full spectrum of preparedness activities to ensure its personnel can continue critical business processes in an all-hazard risk environment. This is accomplished through various means, including the use of professional COOP-Kits by personnel, regular training and exercises of the COOP Plan, the development of personnel management policies that support staff, and monitoring of government intelligence reports or notices by section leadership.

### 2.1.2 Assignment of COOP Planning Responsibilities

It is the responsibility of top-level staff to ensure that the COOP Plan addresses the safety of staff and visitors during a COOP event. In addition, they are responsible for determining a strategy to operationalize the COOP Plan when necessary. While the COOP Plan serves as the guide during activation and recovery, the COOP Program provides the framework and structure to guide COOP Planning.

#### COOP Planning Responsibilities

COOP Planning Responsibilities	
Position	Responsibilities
Lori Gorman, Plan Owner	<ul style="list-style-type: none"> <li>• Designate and authorize a COOP Coordinator to manage the COOP Program</li> <li>• Provide strategic leadership and overarching policy direction for the COOP Program</li> <li>• Participate in facilitated discussions related to the COOP program and plan management</li> <li>• Ensure that orders of succession and delegations of authority are kept up to date</li> <li>• Promulgate the COOP Plan</li> <li>• Ensure all appropriate staff participate in COOP exercises</li> </ul>
Edward Lee, Plan Approvers	<ul style="list-style-type: none"> <li>• Provide oversight of COOP Plan</li> <li>• Participate in facilitated discussions related to COOP program and plan management</li> <li>• Review and recommend changes to the COOP Plan</li> <li>• Determine how to return to normal operations</li> </ul>
LAGplanbuilder Trainer, LAGprocessbuillder Trainer, COOP Coordinator(s)	<ul style="list-style-type: none"> <li>• Lead facilitated discussions on COOP management and COOP Plan updates</li> <li>• Update COOP Plan in accordance with COOP Plan Maintenance Schedule</li> <li>• Coordinate the development and documentation of all activities required for the organization to perform its critical business processes during an event or other situation that disrupts normal operations</li> <li>• Coordinate and/or administer COOP awareness training for all employees and applicable contractors responsible for supporting activation of the COOP Plan</li> <li>• Coordinate an annual COOP exercise and complete an After Action Report (AAR)</li> <li>• Develop an Improvement Plan (IP) to correct deficiencies noted in the AAR and modify the COOP Plan, if appropriate</li> <li>• Provide administrative support as needed</li> <li>• Review and recommend changes to the COOP Plan</li> </ul>



### 2.1.3 Delegation of Authority/Orders of Succession Overview

Authority can be delegated or in the event an incumbent is incapacitated or unavailable to fulfill his/her essential duties, authority can be transferred to a successor to ensure that there is no lapse in the organization's leadership. Generally, the pre-determined delegation of authority/orders of succession below will take effect when normal operations are disrupted and terminate when it has resumed. Authority shall return to the section leader when the section leader is capable of resuming essential duties or a permanent replacement has been chosen. The organization has identified the following delegations of authority/orders of succession:

*Delegations of Authority/Orders of Succession*

**Division Director**

<b>Position Holding Authority</b>	Division Director
<b>Delegation to Position (Alternate)</b>	Division Deputy Director
<b>Delegation to Position (Tertiary)</b>	Operations Manager
<b>Additional Delegations</b>	Upon request if incapacitated.
<b>Position has Authority/Limitation</b>	Act in capacity during day to day operations and COOP events.
<b>Triggering Conditions</b>	If he/she is incapacitated or unavailable.
<b>Termination</b>	Upon appointment or return of next higher authority.

**Division Deputy Director**

<b>Position Holding Authority</b>	Division Deputy Director
<b>Delegation to Position (Alternate)</b>	Operations Manager
<b>Delegation to Position (Tertiary)</b>	Operations Manager Back-up
<b>Additional Delegations</b>	
<b>Position has Authority/Limitation</b>	Act in the capacity during day to day operations and during COOP events.
<b>Triggering Conditions</b>	If he/she is incapacitated or unavailable.
<b>Termination</b>	Upon new appointment or return of next higher authority.

**Information System Support Manager**

<b>Position Holding Authority</b>	Information System Support Manager
<b>Delegation to Position (Alternate)</b>	Information System Support Specialist
<b>Delegation to Position (Tertiary)</b>	
<b>Additional Delegations</b>	
<b>Position has Authority/Limitation</b>	Act in the capacity of day to day operations and during COOP events.
<b>Triggering Conditions</b>	Upon request if incapacitated.
<b>Termination</b>	Upon appointment or return of next higher authority.

# BCIC Sample Plan

## 2.1 Phase I: Preparedness



### Division PIO

<b>Position Holding Authority</b>	Division's PIO
<b>Delegation to Position (Alternate)</b>	Division Deputy Director
<b>Delegation to Position (Tertiary)</b>	Division Director
<b>Additional Delegations</b>	Upon request if incapacitated.
<b>Position has Authority/Limitation</b>	Authority as discretion of Director or Deputy.
<b>Triggering Conditions</b>	Emergency Situation.
<b>Termination</b>	Upon decision of Director.

### Hogwarts Administration

<b>Position Holding Authority</b>	Albus Dumbledore, Hogwarts Administrator
<b>Delegation to Position (Alternate)</b>	Minerva McGonigle, Hogwarts Professor
<b>Delegation to Position (Tertiary)</b>	Severous Snape, Hogwarts Professor
<b>Additional Delegations</b>	
<b>Position has Authority/Limitation</b>	Act in capacity during day to day operations and in COOP Events.
<b>Triggering Conditions</b>	He/she is incapacitated or unavailable.
<b>Termination</b>	Upon appointment or return of next higher authority.



## 2.2 Phase II: Activation and Notification

COOP Plan activation is a scenario-driven process that allows flexible and scalable responses to the full spectrum of emergencies and other events that could disrupt operations with or without warning during duty and off-duty hours. COOP Plan activation is not required for all emergencies and disruptive situations, since other actions may be deemed appropriate. The decision to activate the organization's COOP Plan and corresponding actions to be taken are tailored for the situation, based upon projected or actual impact and severity of the incident.

Leadership will stay informed of the threat environment using all available means, including government intelligence reports or notices, national/local reporting channels, and media outlets. The Incident Commander or designee will make activation decisions after evaluating all available information.

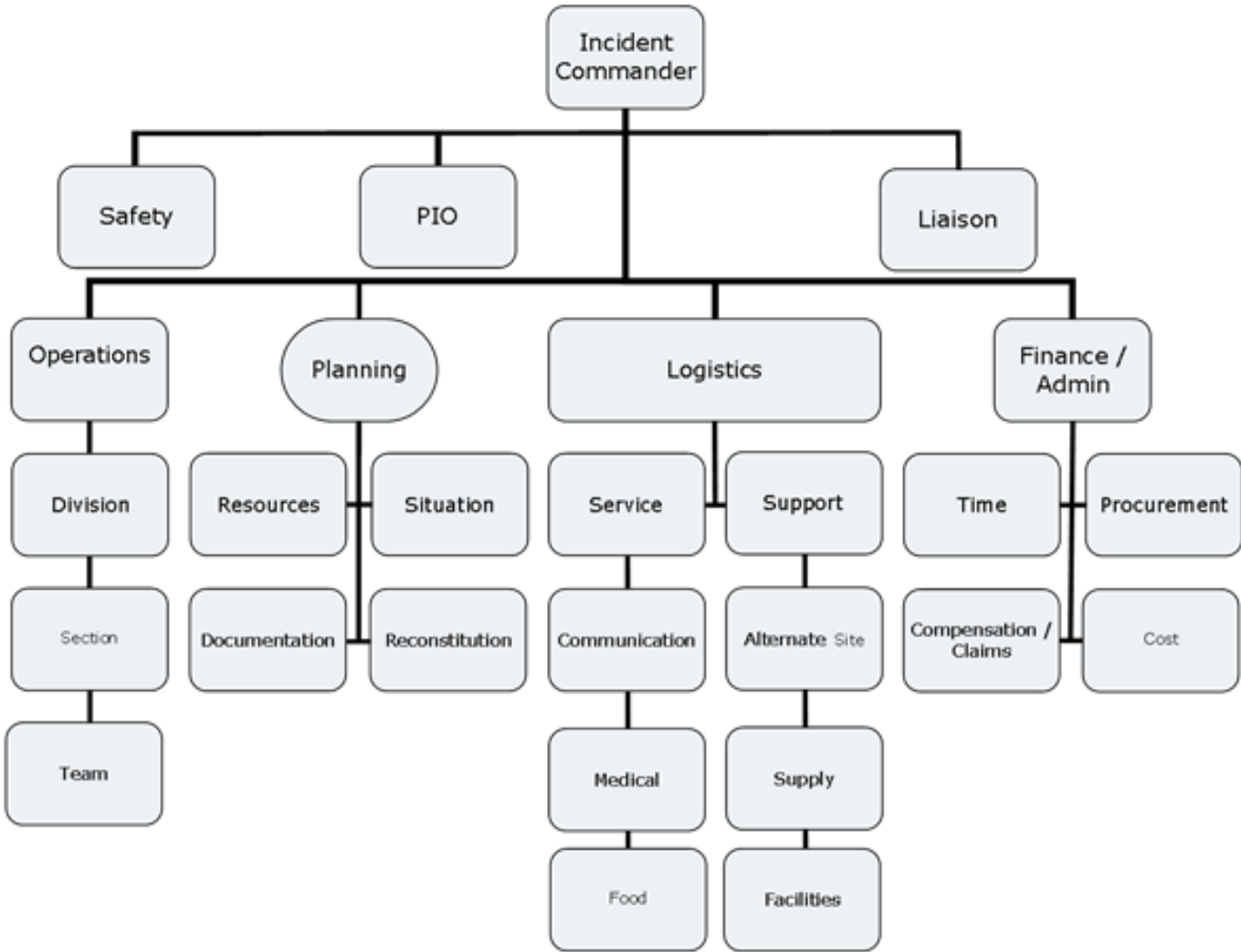
### *Sources of Critical Information*

<b>Key sources of critical information for COOP Plan Activation</b>
Direction and guidance from higher authorities
National Terrorism Advisory System alerts, instructions, and guidance or similar communication from state or local authorities, including local emergency management agencies
National Weather Service Alerts
Intelligence reports
Credible Media Reports



2.2.1 ICS Structure/ Responsibilities

# Incident Command System (ICS) Structure





\*\* Organization may pre-assign positions to these Roles or complete at time of incident.\*\*

Role	Position	Responsibilities
Oversee the activation of the COOP Plan and COOP activities		<ul style="list-style-type: none"> <li>● Order evacuation of primary site as needed</li> <li>● Manage the immediate response to an emergency</li> <li>● Direct organization COOP efforts; order activation of COOP Plan; and activation of continuity facilities</li> <li>● Minimize the loss of assets, resource, critical records and data, if safe</li> <li>● Identify and pre-arrange constitution of an alternate facility</li> </ul>
Incident Commander or designee		<ul style="list-style-type: none"> <li>● Overall responsibility for incident and continuity of operations</li> <li>● Ensure safety and relocation of staff from the primary site</li> <li>● Activate the COOP Plan</li> <li>● Notify organization's personnel of COOP Plan activation</li> <li>● Instruct staff to account for all personnel</li> <li>● Ensure that staff can perform essential functions at the alternate site</li> </ul>
Public Information Officer(PIO)		<ul style="list-style-type: none"> <li>● Advises Incident Commander or designee on information dissemination and media relations</li> <li>● Provide communication to partner organizations regarding the status of the event</li> <li>● Obtains information to and from the community and media</li> <li>● Make information about the incident available to incident personnel</li> </ul>
Safety Officer		<ul style="list-style-type: none"> <li>● Advises Incident Commander or designee on information related to safety</li> <li>● Works with Operations section to ensure safety of personnel</li> <li>● Ensures safety of all incident personnel</li> <li>● Provide situation briefing and reports to Incident Command</li> </ul>
Liaison Officer		<ul style="list-style-type: none"> <li>● Assists Incident Commander or designee by serving as a point of contact for organization's representatives</li> <li>● Provides briefings to and answer questions from supporting organizations</li> <li>● Participate in planning meetings, providing current resource status including limitations and capabilities of organization's resources</li> </ul>
Operations Section Chief		<ul style="list-style-type: none"> <li>● Oversee the Operations Group in the performance of their duties</li> <li>● Ensure essential functions continue at the alternate site</li> <li>● Provide situation briefing and reports to Incident Command</li> </ul>



Role	Position	Responsibilities
Planning Section Chief		<ul style="list-style-type: none"> <li>• Oversee the Planning Group in the performance of their duties</li> <li>• Collect, evaluate and display incident information and status</li> <li>• Prepare and document Incident Action Plans</li> <li>• Conduct and facilitate planning meetings</li> <li>• Oversee preparation of the Reconstitution plan</li> <li>• Establish data collection systems as necessary (e.g. weather)</li> <li>• Provide situation briefing and reports to Incident Command</li> </ul>
Logistics Section Chief		<ul style="list-style-type: none"> <li>• Oversee the Logistics Group in the performance of their duties</li> <li>• Prepare and maintain alternate facility for continuity personnel</li> <li>• Prepare reception area for leadership and personnel arrival</li> <li>• Account for all personnel who have arrived at alternate facility</li> <li>• At the reception area, provide the Relocation Personnel with the following:                             <ul style="list-style-type: none"> <li>• a map with assigned workstations and location to supplies</li> <li>• alternate facility telephone contact list</li> <li>• banker's box for files</li> </ul> </li> <li>• Order, obtain, maintain and account for essential personnel, equipment and supplies</li> <li>• Ensure that each workstation has a computer and access to a telephone</li> <li>• Set up food services if needed</li> <li>• Provide support transportation</li> <li>• Ensure safety of displaced staff from the primary site</li> <li>• Provide situation briefing and reports to Incident Command</li> </ul>
Finance / Admin. Section Chief		<ul style="list-style-type: none"> <li>• Oversee the Finance/Administration Group in the performance of their duties</li> <li>• Follow all activation and notification instructions e.g. evacuate primary site, deploy/report to alternate site</li> <li>• Procuring and activating vendor contracts</li> <li>• Timekeeping</li> <li>• Cost documentation for reimbursements</li> <li>• Provide financial input to reconstitution planning</li> <li>• Provide situation briefing and reports to Incident Command</li> </ul>





### 2.2.2 Modes of Communication

The organization has identified available and redundant critical communication systems at the alternate location. Further, the organization maintains fully capable continuity communications that could support organization needs during all hazards/threats including telecommute and other virtual offices. These systems provide the ability to communicate within and outside the organization

*Modes of communication that support essential functions*

Communication Tools
Telephones
Fax
Cellular Phones
Satellite Phones
Email
Internet Access
HAM Radios
Two-way Radios
800 MHz Radios
Gets Cards



## 2.3 Phase III: COOP Operations

The organizational structure will remain the same during a COOP event. Managers will guide their staff through the COOP process and ensure that their staff is able to perform essential functions at the alternate site. Some personnel may be tasked with additional duties to help manage the COOP event.

### 2.3.1 Relocation

Upon activation of the COOP Plan, the organization’s personnel will continue to perform essential functions if possible until ordered to cease operations by the highest-level staff member available. Personnel will deploy with their laptops and any pertinent files that they can carry if it is safe and feasible to do so. At that time, essential functions will transfer to the alternate facility and/or be performed in the manner prescribed herein.

The COOP Action Plan will provide strategic objectives for the 12 hours after activation of the COOP Plan. It should include recovery of additional essential assets from the primary site if possible and necessary. The Continuity Coordinator or designee will update and distribute the COOP Action Plan to management. The Logistics Section should establish each site based on diagrams found in Section 5.0 – Alternate Facility Locations, and prepare the facility (alternate or tertiary) for the arrival of the continuity personnel.

Personnel will need to be accounted for at the Alternate Facility Location and may assist the Logistics Section in setting up the facility. A briefing will occur after staff members arrive at the Alternate Facility Location.

### 2.3.2 Telecommuting

Telecommuting is recognized as an alternative method to perform some of the organization’s essential functions during a COOP event. Therefore, personnel may be authorized to telecommute during activation of the COOP Plan at the discretion of management. State of Delaware Telecommuting Policy shall be adhered to at all times.

If the decision to perform essential functions via telecommute or using a reduced workforce scenario is made, personnel will:

- Heed all applicable instructions found in the Department of Human Resources' Alternative Work Arrangement Policy and Procedures found here - <https://dhr.delaware.gov/policies/index.shtml>
- Non-Executive Branch employees or employees of elected official offices may not be covered by the Department of Human Resources' Alternative Work Arrangement Policy
- Organizational Telecommute Policies should be adhered to if they exist
- Access applicable systems
- Begin performing essential functions
- Keep their supervisor or designee informed of essential function capability

To gain access to the Virtual Private Network (VPN) from a remote location use the following URL: <https://ID.delaware.gov>

*Staff with VPN Access*

## Communications Team

Essential Onsite: 1 Essential Offsite: 1

Last Name	First Name	VPN Access	Essential Status
Snape	Severus	Yes	Offsite
McGonigle	Minerva	Yes	Onsite



### Cyber Incident Response Team

Essential Onsite: 0 Essential Offsite: 0

Last Name	First Name	VPN Access	Essential Status
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### Damage Assessment Team

Essential Onsite: 1 Essential Offsite: 2

Last Name	First Name	VPN Access	Essential Status
Potter	Harry	No	Offsite
Dumbledore	Albuse	Yes	Onsite
Sanders	Stephanie	Not Specified	Offsite
Weasley	Ronald	No	Pending Assignment

### Fiscal

Essential Onsite: 0 Essential Offsite: 1

Last Name	First Name	VPN Access	Essential Status
Granger	Hermione	Yes	Not Specified
Potter	Harry	No	Offsite
Weasley	Ronald	No	Pending Assignment

### Incident Command Team

Essential Onsite: 2 Essential Offsite: 1

Last Name	First Name	VPN Access	Essential Status
Dumbledore	Albuse	Yes	Onsite
McGonigle	Minerva	Yes	Onsite
Snape	Severus	Yes	Offsite

### Organization Staff sections

Essential Onsite: 2 Essential Offsite: 2

Last Name	First Name	VPN Access	Essential Status
Granger	Hermione	Yes	Not Specified
Potter	Harry	No	Offsite
Weasley	Ronald	No	Pending Assignment
McGonigle	Minerva	Yes	Onsite
Snape	Severus	Yes	Offsite
Dumbledore	Albuse	Yes	Onsite



## Relocation and Reconstitution Team

Essential Onsite: 3 Essential Offsite: 2

Last Name	First Name	VPN Access	Essential Status
Dumbledore	Albuse	Yes	Onsite
Weasley	Fred	Not Specified	Onsite
Weasley	Ted	Not Specified	Onsite
Snape	Severus	Yes	Offsite
Potter	Harry	No	Offsite
Weasley	Ronald	No	Pending Assignment



### 2.3.3 COOP Kit

COOP-Kits include standard operating procedures, emergency plans, and other relevant guidance. Other documents and materials that should be included in a COOP-Kit include:

- COOP Plan (hard copy)
- General office supplies
- Backup communication devices, if available
- Manual work-around procedures for performing essential functions
- Compact discs/flash drives/additional media as needed with essential documents

Pre-staged supplies should be kept at the alternate and tertiary sites if possible.

### 2.3.4 Budgeting and Acquisition of Resources

During COOP operations, the organization may need to acquire additional personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The authority for emergency acquisition is the highest level staff member. He/she will work with the organization's Finance/Administration Section (Fiscal Office) for any procurement needs.

See the Budget and Accounting Manual Section 7.4.2 for specific instructions and forms  
<https://budget.delaware.gov/accounting-manual/documents/chapter07.pdf?ver=0112>



## 2.4 Phase IV: Reconstitution

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The Incident Commander or designee will serve as the lead manager for all phases of returning to normal operations. The Continuity Coordinator and management will develop a COOP Recovery Action Plan to ensure that functions are restored in a manner that minimizes downtime. Specifically, management is responsible for ensuring the availability of personnel to assist with recovery activities.

In addition, the Damage Assessment Team will work with the Facilities Team to ensure that undamaged office furniture and electronics are recovered, salvaged, and restored. During COOP operations, the Damage Assessment Team must assess the status of the facility affected by the event by contacting the Facility Team. It should be noted that in certain circumstances, recovery to the primary operating facility might require approval from local, state, or federal law enforcement or emergency service agencies and the facility manager.

Recovery procedures will commence when the Incident Commander or designee ascertains that the emergency or disruption has ended and is unlikely to reoccur. Once the appropriate authority has made this determination, in coordination with other applicable authorities, one or more of the following options may be implemented, depending on the situation:

- If the disruption was caused by a facility related event, the Logistics Team may coordinate with the appropriate personnel to conduct security and safety assessments to determine building suitability.
- The Incident Commander or designee may notify personnel that the threat of, or actual emergency, no longer exists and provide instructions for resumption of normal operations. The Crisis Communications Tool may be used to disseminate the announcement.
- Each manager will designate a recovery point-of-contact to work with the Planning Section Chief to update personnel on developments regarding recovery.
- Personnel will continue to perform essential functions until notification of recovery implementation.
- The Incident Commander or designee shall communicate the recovery schedule to personnel, contractors, vendors, customers/partners and other key contacts (local jurisdictions), as applicable.
- The Operations Section Chief shall coordinate with IT, or other appropriate staff and/or contractors to verify that systems, communication, and other required capabilities are available and operational. In addition, the Operations Section Chief will ensure that the organization is fully capable of accomplishing all essential functions and operations.
- Once the Recovery Action Plan is implemented, the Incident Commander or designee will supervise the return of personnel, equipment, and documents to normal operations whether at the primary or a permanent alternate facility location. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined by the Incident Commander or designee. Transition and/or recovery of essential records, databases, or equipment, as well as other records not designated as essential will occur in a manner consistent with the criticality of essential functions and any other recovery plans.
- The Continuity Coordinator shall coordinate with management and conduct a “hot wash” to review COOP operations and the effectiveness of plans and procedures with leadership and personnel. This information is used to complete an After Action Report (AAR) within sixty (60) days of the event. Information gathered during the AAR process should be used to develop an Improvement Plan (IP) to correct identified deficiencies.



## 3.0 Process Dependencies

### Process Dependencies

Process Team dependencies list teams, team positions with assigned employees, and task(s) required to support the process.

Many processes depend on the availability of key applications. Applications may be supported or managed internally, externally, or by the Department of Technology and Information. It is essential that organizations be aware of any gaps in the recovery time requirements for their critical applications as it relates to the critical process requirements. These gaps should be considered when developing work-around procedures and establishing service agreements.

Vital records are critical to an organization’s ability to perform processes. If damaged or destroyed, these records would disrupt operations and information flow, and require replacement or re-creation at considerable expense or inconvenience.

To provide normal government operations following a disaster, vital records must be protected. As outlined in the Delaware Emergency Operations Plan, every state agency is responsible for developing procedures and protocols to ensure the preservation of essential records. The Department of State, Delaware Public Archives, is responsible for developing and enforcing appropriate regulations, guidance, and standards for the identification and protection of critical or essential governmental records. This policy is outlined in the Delaware State Agency General Records Retention Schedule.

To supplement written records, the state agency should maintain vital and confidential records electronically. These records should be backed up on a daily basis to an off-site server.

#### Process: Accounts Receivable

Ensure the accurate, timely recording and depositing of receipts in accordance with the provisions of 29 Del. C. § 6103.

**Criticality:** 1- Critical

**Requested RTO:** 12 to 24 hours

**Critical Times of the Year:**  
June

#### Process Tasks

Task Order	Task Name	Description
1	Deposit monies received	Deposit funds received by the agency in a timely manner and in conformance with applicable statutes and regulations.

Application	Application Description	Application RTO	Business RTO
First State Financials (FSF)	Contact FSF Help Desk – 672-5000 A statewide implementation of PeopleSoft Financials.	30 Hours	< 1 hour

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Delaware Code	2- Significant	<a href="http://delcode.delaware.gov/">http://delcode.delaware.gov/</a>		Lexis Nexus
Document Direct for the Internet	1- Critical	<a href="https://docdir.dti.state.de.us">https://docdir.dti.state.de.us</a>	Yes	State Archives
State of Delaware Budget and Accounting Manual	2- Significant	<a href="https://budget.delaware.gov/accounting-manual/index.shtml">https://budget.delaware.gov/accounting-manual/index.shtml</a>	Yes	Printed copy







**Process: Internal Fiscal Control**

**Criticality:** 2- Significant

**Requested RTO:** 5 to 8 hours

Develop and maintain an internal control plan that conforms to all applicable statutes, regulations and rules and ensure it also includes a Payroll Internal Controls Plan. A minimum of two (2) individuals are vested with the necessary “authorized approvers” authority in First State Financials

**Process Tasks**

Task Order	Task Name	Description
1	Increase Credit Limit for emergency expenditures	

Application	Application Description	Application RTO	Business RTO
First State Financials (FSF)	Contact FSF Help Desk – 672-5000 A statewide implementation of PeopleSoft Financials.	30 Hours	12 to 24 hours

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Delaware Code	2- Significant	<a href="http://delcode.delaware.gov/">http://delcode.delaware.gov/</a>		None Specified
State of Delaware Budget and Accounting Manual	1- Critical	<a href="https://budget.delaware.gov/accounting-manual/index.shtml">https://budget.delaware.gov/accounting-manual/index.shtml</a>		None Specified



**Process: Consumer Services**

Ensure continued provision of services.

**Criticality:** 2- Significant

**Requested RTO:** 8 to 12 hours

**Process Tasks**

Task Order	Task Name	Description
1	Contact Vendor XYZ to provide ABC services until systems restored.	Contact Vendor XYZ to provide ABC services until systems restored.
2	Consumer Services	Ensure that services to the public/customers are restored once available.

Application	Application Description	Application RTO	Business RTO
Outlook Exchange System	This system is used for e-mail and Microsoft Office Cloud applications such as Teams, Sharepoint, Word, Excel, Powerpoint etc.	4 Hours	5 to 8 hours

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
1075 Emergency Lighting services contract	2- Significant	t://contracts/1075EmergencyLighting	Yes	State contract website



**Process: Budgeting**

Prepare and submit agency's budget annually to the Office of Management and Budget. Two (2) or more individuals, consistent with the agency's internal control policies and procedures, should have access to First State Financials.

**Criticality:** 2- Significant

**Requested RTO:** 12 to 24 hours

**Critical Times of the Year:**  
January

**Process Tasks**

Task Order	Task Name	Description
1	Budget Writing	Compile financial data for budget yearly submission.

Application	Application Description	Application RTO	Business RTO
First State Financials (FSF)	Contact FSF Help Desk – 672-5000 A statewide implementation of PeopleSoft Financials.	30 Hours	Day 1

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Document Direct for the Internet	2- Significant	<a href="https://docdir.dti.state.de.us">https://docdir.dti.state.de.us</a>		None Specified
State Contract Website	2- Significant	<a href="http://contracts.delaware.gov/">http://contracts.delaware.gov/</a>		None Specified
State of Delaware Budget and Accounting Manual	1- Critical	<a href="https://budget.delaware.gov/accounting-manual/index.shtml">https://budget.delaware.gov/accounting-manual/index.shtml</a>		None Specified



**Process: Procurement and Purchasing**

**Criticality:** 2- Significant

**Requested RTO:** 12 to 24 hours

Two (2) or more individuals, consistent with the agency's internal control policies and procedures, should have a State PC Program credit card. Those same individuals should also have access to PaymentNet.

**Process Tasks**

Task Order	Task Name	Description
1	Identify requirements for purchase and source on State Contract.	Identify requirements for purchase
2	Submit for purchase approval.	
3	Upon receipt, verify items received are as ordered and provide bill of lading to accounts payable.	Upon receipt, verify items received are as ordered and provide bill of lading to accounts payable.

Application	Application Description	Application RTO	Business RTO
First State Financials (FSF)	Contact FSF Help Desk – 672-5000 A statewide implementation of PeopleSoft Financials.	30 Hours	1 to 4 Hours
Payment Net Supercard (JPMC) - ACCOUNTING	A web-based procurement application, that allows control and administration of their SuperCard spending throughout the State. It expands the control capability of traditional procurement using commercial cards. It enables the state the ability to be flexible in choosing card controls most beneficial to their organization, including the ability to dynamically control and manage their Visa commercial card spending through the Web. In addition, it gives the State web access to daily card transaction data, greatly enhancing visibility into spending and streamlining back-office functions such as reconciliation and end-of-month closings.	24 Hours	< 1 hour

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Delaware Code	2- Significant	<a href="http://delcode.delaware.gov/">http://delcode.delaware.gov/</a>		None Specified
eMarketplace	2- Significant	<a href="https://solutions.sciquest.com/apps/Router/Login?OrgName=StateofDelaware&amp;tmstp=1440785070922">https://solutions.sciquest.com/apps/Router/Login?OrgName=StateofDelaware&amp;tmstp=1440785070922</a>		None Specified
State Contract Website	2- Significant	<a href="http://contracts.delaware.gov/">http://contracts.delaware.gov/</a>		None Specified
State of Delaware Budget and Accounting Manual	2- Significant	<a href="https://budget.delaware.gov/accounting-manual/index.shtml">https://budget.delaware.gov/accounting-manual/index.shtml</a>		None Specified



**Process: Payroll Compliance**

**Criticality:** 2- Significant

**Requested RTO:** Day 3

Two (2) or more individuals, consistent with the agency's internal control policies and procedures, must maintain a current Payroll Authorized Signature Card on file with the Division of Accounting's Payroll Compliance Group.

**Critical Weeks of the Month:** 1st Week, 3rd Week

**Sample Facilities Management/Support Services**

Normal Staff Level		Telecommute		
1		1		
Position and Employee Name	Work Phone	Company Cell	Personal Cell	Email Address
<b>Position: Sample Facilities Manager</b>				
Severus Snape	(888)888-8888		(888)888-8888	severus.snape@state.de.us

**Process Tasks**

Task Order	Task Name	Description
1	Time & Labor	Enter time for employees.

## BCIC Sample Plan

### 3.0 Process Dependencies



Application	Application Description	Application RTO	Business RTO
First State Financials (FSF)	Contact FSF Help Desk – 672-5000 A statewide implementation of PeopleSoft Financials.	30 Hours	Day 3
PHRST 9.2 Payroll /Human Resource System Technology	Supports Statewide Payroll, Human Resource, Ben. Admin and Time and Labor. DTI supports technical/ERP supports functional. (Customized Commercial off Shelf solution)	30 Hours	12 to 24 hours
Time and Labor	eSTAR is the state Time and Attendance application that employees use to submit time worked (overtime, comp time, ect) or accrued leave requests (vacation, sick, ect). (Custom application). Tickets are processed differently depending on the caller: Employee: If the employee is unable to login via SSO please have them call 1-866-751-7833 or send an email to epay_security@delaware.gov. If the employee CAN log in via SSO (meaning they can "see tiles" but cannot see the eSTAR tile or are having an issue with the information displayed or with utilizing the application, please inform them to contact their Human Resources Representative for assistance. If the employee is getting an error within the eSTAR application the ticket should be escalated to: Tina Feliciano, Joe Morelli, and then Michelle Donohue of the ERP-Technical Team Assignee group. PHRST End user: (HR representative, payroll and benefits users)- These users have administrative access within the tool. They will likely call to report issues like: I can't run a report I can't use certain pay codes I can't see this employee. Have these users call PHRST Help Desk at (302) 739-8066. If PHRST Employee cannot see their employees, issues with time off requests, not seeing correct information on timesheet, or report does not run correctly or similar system issues, they need to contact their HR Office/PHRST Helpdesk	99 Days	Day 1

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Delaware Code	2- Significant	<a href="http://delcode.delaware.gov/">http://delcode.delaware.gov/</a>		None Specified
State of Delaware Budget and Accounting Manual	1- Critical	<a href="https://budget.delaware.gov/accounting-manual/index.shtml">https://budget.delaware.gov/accounting-manual/index.shtml</a>		None Specified



**Process: Accounts Payable**

Ensure vendors are paid within 30 days of the presentment of a valid invoice, thereby avoiding paying interest to the vendor pursuant to 29 Del. C. § 6516 (d).

**Criticality:** 3- Moderate

**Requested RTO:** 12 to 24 hours

**Critical Times of the Year:**

June

**zzz CVM Test BIA Process Team**

Normal Staff Level		Telecommute		
4		2		
Position and Employee Name	Work Phone	Company Cell	Personal Cell	Email Address
<b>Position: zzz CVM Test BIA Process Team Leader</b>				
Sandra Alexander	(302)739-9637		(302)242-5475	sandra.alexander@delaware.gov
<b>Position: zzz CVM Test BIA Process Team Member</b>				
Claudette Wus	(302)739-9636		(302)465-2463	claudette.wus@delaware.gov

Team Vendor and Vendor Rep	Work Phone	Cell Phone	Email Address
<b>Vendor: SUNGARD AVAILABILITY SVCS LP</b>			
<b>Vendor Notes:</b>		<b>Vendor Website:</b>	

Team Customer Org and Customer Rep	Work Phone	Cell Phone	Work Email
<b>Customer: Merck &amp; Co., Inc.</b>			

Team Business Entity and State Employee	Work Phone	Cell Phone	Work Email
<b>Entity: /DDA-Agriculture-Harness Racing Commission</b>			
<b>Main Number:</b>			
Heather Volkomer	(302)739-9824	(302)562-6122	heather.volkomer@delaware.gov

**Process Tasks**

Task Order	Task Name	Description
1	Pay legitimate invoices	Pay legitimate invoices for goods and services purchased by the agency.

## BCIC Sample Plan

### 3.0 Process Dependencies



Application	Application Description	Application RTO	Business RTO
First State Financials (FSF)	Contact FSF Help Desk – 672-5000 A statewide implementation of PeopleSoft Financials.	30 Hours	Day 7
Payment Net Supercard (JPMC) - ACCOUNTING	A web-based procurement application, that allows control and administration of their SuperCard spending throughout the State. It expands the control capability of traditional procurement using commercial cards. It enables the state the ability to be flexible in choosing card controls most beneficial to their organization, including the ability to dynamically control and manage their Visa commercial card spending through the Web. In addition, it gives the State web access to daily card transaction data, greatly enhancing visibility into spending and streamlining back-office functions such as reconciliation and end-of-month closings.	24 Hours	Day 14

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Delaware Code	2- Significant	<a href="http://delcode.delaware.gov/">http://delcode.delaware.gov/</a>		None Specified
eMarketplace	2- Significant	<a href="https://solutions.sciquest.com/apps/Router/Login?OrgName=StateofDelaware&amp;timestamp=1440785070922">https://solutions.sciquest.com/apps/Router/Login?OrgName=StateofDelaware&amp;timestamp=1440785070922</a>		None Specified
State Contracts Website	2- Significant	<a href="http://contracts.delaware.gov/">http://contracts.delaware.gov/</a>		None Specified
State of Delaware Budget and Accounting Manual	2- Significant	<a href="https://budget.delaware.gov/accounting-manual/index.shtml">https://budget.delaware.gov/accounting-manual/index.shtml</a>		None Specified





**Process: Respond to Customer Complaints**

**Criticality:** 3- Moderate

Respond to customer complaints by investigating complaint and providing resolution

**Requested RTO:** Day 1

**Process Tasks**

Task Order	Task Name	Description
1	Verify nature of complaint	
2	Resolve issue in accordance with policies and procedures.	Resolve issue in accordance with policies and procedures.
3	Notify customer of resolution.	Notify customer of resolution.

Application	Application Description	Application RTO	Business RTO
<i>None Specified</i>			

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Sample Customer Service Procedure Manual	4- Limited	T://Business Continuity/ProcedureManuals/Customer Service	Yes	Customer Service Manager main file cabinet



**Process: Communicate with Public**

**Criticality:** 3- Moderate

**Requested RTO:** Day 2

Communicate with public through phone, email, and social media. Address citizen complaints and requests for information.

**Process Tasks**

Task Order	Task Name	Description
1	Address Public complaints	Investigate and provide response to citizens regarding service complaints.
2	Provide information requested.	Answer requests from Public for agency information.

Application	Application Description	Application RTO	Business RTO
Cisco Phone System	This telephone system is used enterprise wide.	4 Hours	< 1 hour
Outlook Exchange System	This system is used for e-mail and Microsoft Office Cloud applications such as Teams, Sharepoint, Word, Excel, Powerpoint etc.	4 Hours	5 to 8 hours

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Call Log	3- Moderate	T:/Customer Service	Yes	Printed copies of monthly call reports available in records storage room.



**Process: Asset Management**

Maintain complete and accurate capital asset records in accordance with GAAP, GASB Statement No.34, and the State of Delaware’s Budget and Accounting Policy Manual.

**Criticality:** 4- Limited

**Requested RTO:** Day 1

**Critical Times of the Year:**

June

**Process Tasks**

Task Order	Task Name	Description
1	Inventory and maintain Asset records	Inventory and maintain Asset records
2	Provide quarterly asset report to management.	Provide quarterly asset report to management.

Application	Application Description	Application RTO	Business RTO
First State Financials (FSF)	Contact FSF Help Desk – 672-5000 A statewide implementation of PeopleSoft Financials.	30 Hours	Day 1

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
Delaware Code	2- Significant	<a href="http://delcode.delaware.gov/">http://delcode.delaware.gov/</a>		None Specified
State of Delaware Budget and Accounting Manual	2- Significant	<a href="https://budget.delaware.gov/accounting-manual/index.shtml">https://budget.delaware.gov/accounting-manual/index.shtml</a>		None Specified



**Process: Administration**

**Criticality:** 4- Limited

Oversee basic administration for organization.

**Requested RTO:** Day 2

**Process Tasks**

Task Order	Task Name	Description
1	Perform administrative duties associated with daily operations.	Answer phones, mail processing, scheduling, etc.

Application	Application Description	Application RTO	Business RTO
Outlook Exchange System	This system is used for e-mail and Microsoft Office Cloud applications such as Teams, Sharepoint, Word, Excel, Powerpoint etc.	4 Hours	5 to 8 hours

Vital Record Name	Criticality Rating	Network Location	Alt. Source	Alt. Source Location
<i>None Specified</i>				



## 4.0 Plan Teams and Tasks

The 4.0 Plan Teams Report applies to those plans build out from a plan level only. Plans built at a process level will display all teams under their specified processes.

### Communications Team

Normal Staff Level				Telecommute
2				2

Position and Employee Name	Work Phone	Company Cell	Personal Cell	Work Email
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**Position: Communications Lead**

Severus Snape	(888)888-8888		(888)888-8888	severus.snape@state.de.us
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**Position: Communications Members**

Minerva McGonigle	(555)555-5555	(555)555-5555		minerva.Mcgonigle@state.de.us
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Task Name/Subtask	Task Description	Task Order
<input type="checkbox"/> Determine if voice communications are operational.	Determine if voice communications are operational.	1
<input type="checkbox"/> Notify DTI Service Desk if voice communications are not operational.	Contact 302-739-9560 using any alternate communication means available.	2
<input type="checkbox"/> Activate predetermined/ prearranged voice re-direct.	Request main number be redirected to 123-456-7895; redirect fax 302.111.2222 to xxx.xxx.xxxx	3

Team Vendor and Vendor Reps	Work Phone	Cell Phone	Email Address
<b>Vendor: BUZZZ BOX</b>			
<b>Vendor Notes:</b> fkldklsdfjksl		<b>Vendor Website:</b> tester	
Stephen McVay	( 30)267-2671		

Team Customer Org and Customer Reps	Work Phone	Cell Phone	Work Email
<b>Customer: BC in the Cloud</b>			
Stephanie Sanders	(267)341-1006	(267)971-3905	stephanie.sanders@bcinthecloud.com

Team Business Entity and State Employee	Work Phone	Cell Phone	Work Email
<b>Entity: /Advisory Council for Exceptional Citizens</b>			
<b>Main Number: (999)999-9999</b>			





## Cyber Incident Response Team

Normal Staff Level			Telecommute	
5			5	
Position and Employee Name	Work Phone	Company Cell	Personal Cell	Work Email

**Position: Incident Command (Incident Commander, PIO, Operations Section Chief)**

<i>No Members Specified</i>
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**Position: Technical Response Team**

<i>No Members Specified</i>
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**Position: Legal Response Team**

<i>No Members Specified</i>
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**Position: HR Representative**

<i>No Members Specified</i>
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Task Name/Subtask	Task Description	Task Order
<input type="checkbox"/> Report issue to DTI Service Desk	Contact DTI Service Desk at (302)739-9560. DTI will contact additional agencies such as Police, FBI, etc. if necessary.	1
<input type="checkbox"/> Contact any regulator agencies if applicable	Provide regulatory agency information and trigger: If incident relates to a breach of private information contact XYZ agency at XXX-XXXX	2
<input type="checkbox"/> Notify PIO	Work with PIO to draft notifications to the public, website updates, and employees	3
<input type="checkbox"/> Update Website	Contact GIC to update website with approved statement.	3
<input type="checkbox"/> Perform system analysis	Work with IT team to evaluate cause of issue:- isolate impacted systems, recovery actions,	4
<input type="checkbox"/> Establish and Activate work around procedures	Review section 3 of your COOP plan and determine impacted processes; institute work around procedures (ensure staff are apprised of change and document impacts).	5



## Damage Assessment Team

Normal Staff Level			Telecommute	
5			4	
Position and Employee Name	Work Phone	Company Cell	Personal Cell	Work Email

**Position: Information System Support Specialist**

Harry Potter	(111)111-1111	(111)111-1111		harry.potter@gmail.com
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**Position: Sample Division Director**

Albuse Dumbledore	(333)333-3333	(302)562-6122	(333)333-4444	Albuse.dumbledore@gmail.com
Stephanie Sanders				stephanie.sanders@bcinthecloud.com

**Position: Facility Manager**

Ronald Weasley	(222)222-2222		(222)222-2222	ronald.weasley@gmail.com
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Task Name/Subtask	Task Description	Task Order
<input type="checkbox"/> Assess building safety/access.	Establish if building is safe to access and determine damaged areas. Evaluate for building occupancy. Provide recommendation to Incident Command team related to relocation of staff.	1
<input type="checkbox"/> Inventory resources.	Inventory viable equipment/records/supplies to be moved to alternate facility.	2
<input type="checkbox"/> Secure facility.	Work with facilities management and alternate vendors to secure facility.	3
<input type="checkbox"/> Contact Insurance Coverage Office	Contact Insurance Coverage Office to report any incidents that impact state resources. 302-739-3651 or 1-877-277-4185; inscov@delaware.gov	3
<input type="checkbox"/> Evaluate and protect Vital Records	Work with Dept. of Archives to restore damaged paper records; work with IT staff or DTI for restoration of electronic records.	4

Team Vendor and Vendor Reps	Work Phone	Cell Phone	Email Address
<b>Vendor: VERIZON - DELAWARE</b>			
<b>Vendor Notes:</b>		<b>Vendor Website:</b> <a href="http://verizon.com">http://verizon.com</a>	
Lucy Goosy	(444)444-4444		



# BCIC Sample Plan

## 4.0 Plan Teams and Tasks



Team Business Entity and State Employee	Work Phone	Cell Phone	Work Email
<b>Entity: /Executive-OMB-Facilities Management</b>			
<b>Main Number: (302)577-8190</b>			
<b>Entity: /Department of Human Resources-Division of Statewide Benefits-Insur Coverage Office of M &amp; B</b>			
<b>Main Number:</b>			
Debra Lawhead	(302)760-7084	(302)270-1863	debra.lawhead@delaware.gov
<b>Entity: /DOS-Delaware Public Archives-Delaware Public Archives</b>			
<b>Main Number:</b>			
Rodney Carson	(302)672-5186	(302)242-2691	rodney.carson@delaware.gov



## Fiscal

Normal Staff Level				Telecommute
6				4
Position and Employee Name	Work Phone	Company Cell	Personal Cell	Work Email

**Position: Senior FA Officer/Fiscal Team**

Hermione Granger	(444)444-4444	(444)444-4444	(444)444-4444	Hermione.granger@gmail.com
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**Position: Fiscal Team members**

Harry Potter	(111)111-1111	(111)111-1111		harry.potter@gmail.com
Ronald Weasley	(222)222-2222		(222)222-2222	ronald.weasley@gmail.com

Task Name/Subtask	Task Description	Task Order
<input type="checkbox"/> Increase P-card limits as needed for emergency.	Increase P-card limits as needed for emergency.	1
<input type="checkbox"/> Track emergency related expenses.	Track any emergency related expenditures and document in accordance with Insurance coverage office for reimbursement.	2
<input type="checkbox"/> Work with HR to ensure timely payroll.	Work with HR to ensure timely payroll.	3



## Incident Command Team

Normal Staff Level				Telecommute
10				7
Position and Employee Name	Work Phone	Company Cell	Personal Cell	Work Email
<b>Position: Incident/Crisis Coordinator/Command Staff/PIO/Alternate Staff.</b>				
Albuse Dumbledore	(333)333-3333	(302)562-6122	(333)333-4444	Albuse.dumbledore@gmail.com
<b>Position: Public Information Officer</b>				
Minerva McGonigle	(555)555-5555	(555)555-5555		minerva.Mcgonigle@state.de.us
<b>Position: Operations Section Chief</b>				
Severus Snape	(888)888-8888		(888)888-8888	severus.snape@state.de.us

# BCIC Sample Plan

## 4.0 Plan Teams and Tasks



Task Name/Subtask	Task Description	Task Order
<input type="checkbox"/> Incident Commander	Oversee responsibility for incident and continuity of operations; Ensure safety and relocation of staff from the primary site; Activate the COOP Plan and notify organizations personnel of COOP Plan activation; Ensure that staff can perform essential functions at the alternate site.	1
<input type="checkbox"/> Public Information Officer tasks	Advise the Incident Commander or designee on information dissemination and media relations; Provide communication to partner organizations regarding the status of the event; Obtains information to and from the community and media; Make information about the incident available to incident personnel.	2
<input type="checkbox"/> Initiate Crisis Communications for plan	Initiate Crisis Communications for plan	3
<input type="checkbox"/> Conduct Damage Assessment	Conduct damage assessment to determine in primary site is operational (building safe and inhabitable), systems appropriately accessible, etc. May include assistance from Facilities Management, engineers, IT staff, or additional resources.	3
<input type="checkbox"/> Activate predetermined/prearranged voice re-direct.	Request main number be redirected to 123-456-7895; redirect fax 302.111.2222 to xxx.xxx.xxxx	3
<input type="checkbox"/> Account for all staff	Account for staff both onsite and offsite. Evaluate staffing needs to respond to the incident.	3
<input type="checkbox"/> Activate Alternate Work site if warranted	If primary location is not available, activate alternate site or institute work from home procedures. Update staff concerning situation using crisis communication tool and request essential personal report to designated alternate site.	5
<input type="checkbox"/> Schedule regular status updates	Schedule regular status updates for incident command team (frequency based on incident needs) to review situation status and determine next steps. Ensure all incident command team members are briefed on situation specifics, operational objectives, and leadership decisions.	5
<input type="checkbox"/> Establish incident objectives	Establish incident objectives- review Process Report to determine recovery priorities and determine dependencies (staff, applications, vital records).	6
<input type="checkbox"/> Determine and deploy appropriate number of computers and peripherals for operations	Set up PCs and Printers	7
<input type="checkbox"/> Fiscal/ Admin Section Chief	Oversee the Finance/Administration Group in the performance of their duties: procuring and activating vendor contracts; timekeeping; cost documentation for reimbursements; provide financial input to reconstitution planning; provide situation briefing for reports to Incident Command.	8



## Organization Staff sections

Normal Staff Level			Telecommute	
0			0	

Position and Employee Name	Work Phone	Company Cell	Personal Cell	Work Email
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**Position: Customer Service Section**

Harry Potter	(111)111-1111	(111)111-1111		harry.potter@gmail.com
Hermione Granger	(444)444-4444	(444)444-4444	(444)444-4444	Hermione.granger@gmail.com
Ronald Weasley	(222)222-2222		(222)222-2222	ronald.weasley@gmail.com

**Position: Fiscal Team**

Minerva McGonigle	(555)555-5555	(555)555-5555		minerva.Mcgonigle@state.de.us
Severus Snape	(888)888-8888		(888)888-8888	severus.snape@state.de.us

**Position: Administration**

Albuse Dumbledore	(333)333-3333	(302)562-6122	(333)333-4444	Albuse.dumbledore@gmail.com
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Task Name/Subtask	Task Description	Task Order
<i>None Specified</i>		



## Relocation and Reconstitution Team

Normal Staff Level				Telecommute
0				0
Position and Employee Name	Work Phone	Company Cell	Personal Cell	Work Email
<b>Position: Sample Division Director</b>				
Albuse Dumbledore	(333)333-3333	(302)562-6122	(333)333-4444	Albuse.dumbledore@gmail.com
<b>Position: COOP Coordinator</b>				
Fred Weasley	(302)561-2369			fred.weasley@gmail.com
Ted Weasley	(302)569-7425		(302)541-7269	ted.weasley@gmail.com
<b>Position: Communications Team Lead</b>				
Severus Snape	(888)888-8888		(888)888-8888	severus.snape@state.de.us
<b>Position: Information System Support Specialist</b>				
Harry Potter	(111)111-1111	(111)111-1111		harry.potter@gmail.com
<b>Position: Facility Manager</b>				
Ronald Weasley	(222)222-2222		(222)222-2222	ronald.weasley@gmail.com

Task Name/Subtask	Task Description	Task Order
<input type="checkbox"/> Notify alternate facility of impending activation.	Contact the alternate location as outlined in the MOU to activate the alternate facility.	1
<input type="checkbox"/> Identify replacements for missing personnel.	If staffing numbers have been impacted, identify replacements for missing personnel - delegation of authority/orders of succession.	2
<input type="checkbox"/> Notify Staff.	Notify staff of impending relocation including where to report and when. Instruct all personnel on immediate responsibilities and duties.	3
<input type="checkbox"/> Setup alternate location.	Setup alternate location to include phones, network, computers, and specialized equipment. If accessible, transport records, equipment and supplies from primary location. Include a check in station for all staff as they report to location.	4
<input type="checkbox"/> Secure effected location.	Take necessary steps to secure effected location.	5
<input type="checkbox"/> Commence essential functions at alternate facility.	Commence full execution of supporting essential functions at the alternate facility.	5
<input type="checkbox"/> Relocation notifications	Notify the public, customers, partners and vendors of your current alternate location.	6
<input type="checkbox"/> Reconstitution - Return to normal operations.	Inform personnel including schedule of events. Supervise return to primary facility. Notify the public, customers, partners and vendors of new location.	7
<input type="checkbox"/> Document relocation, complete after action report and update COOP plan.	Complete hot wash of event. Document lessons learned. Update COOP plan. Submit COOP plan for approval. Distribute newly published COOP plan.	8





## 5.0 Alternate Facility Locations

The organization has designated alternate facilities as part of its COOP Plan and has prepared personnel for the possibility of unannounced relocation to a facility to continue the performance of essential functions.

### Alternate Facility: Holloway Campus Biggs Building

Building Name	Address
Holloway Campus Biggs Building	1901 N DuPont Highway, New Castle, Delaware 19720
Business Entity	/Sample Agency
Notes	Example Relocation details such as: this location has sufficient parking for 15 vehicles; entry is through rear of building; BYOB state network access available; contact John Doe at 444-555-6789 for security access.

Asset/Equipment on Hand	Asset/Equipment Description	Quantity
Desk/Chairs		5
phone	telephone	2
Personal Computer (PC) Configuration	PC/Monitor/Keyboard/Mouse/Associated power cords	1
Laptop Configuration	Includes docking station	1
		4
Supplies Available	Supply Description	Quantity
Basic Office Supply Kit	Pens, TrashCan, Paper Clips, Envelopes, Folders, Binder clips, Highlighter, Mouse Pad, Pencil & Shar	2
"Entered" Date Stamp		2
"For Deposit Only" Stamp		2





## 6.0 Plan Resource Requirements

### 6.1 Resource Requirements

Software required to perform essential functions.

Software Name	Version Number	Software Description	30- Day Quantity
Citrix Client ICA32			22
Microsoft Office 2010 Professional		Word, Excel, Powerpoint, OneNote, Outlook, Publisher, Access, Infopath and Lync	20

Assets/Equipment required to perform essential functions.

Asset/Equipment Name	Asset/Equipment Description	30- Day Quantity
800 Mhz Radios	Three 800Mhz radios (2 NCC/1 Milford) able to communicate with DPH, DHSS Secretary.	30
Portable Automated External Defibrillators (AED)	Two portable AED's acquired through Division of Public Health Office of Preparedness/OEMS. One will housed in NCC, the other in Milford.	30
Desk/Chairs		20
Personal Computer (PC) Configuration	PC/Monitor/Keyboard/Mouse/Associated power cords	20

This report lists the Supplies within the selected plan.

Supplies Name	Description	30-Day Quantity	Packaging
Basic Office Supply Kit	Pens, TrashCan, Paper Clips, Envelopes, Folders, Binder clips, Highlighter, Mouse Pad, Pencil & Shar	30	Case
Copy Paper		30	Ream



## 6.2 Vendor Requirements

The table below shows Vendor Orgs and Vendor Reps associated with this Plan.

Vendor	Vendor Rep	Work Phone	Cell Phone	Email Address	Notes
<b>Vendor: WB MASON COMPANY INC</b>					
<b>Vendor Notes:</b> Account Number: C2013320			<b>Vendor Website:</b> <a href="http://www.wbmason.com">http://www.wbmason.com</a>		
	Dave Boyer	(888)926-2766	(302)563-2225	Dave.Boyer@wbmason.com	



### 6.3 Customer Partner Organizations

The table below shows Customer/Partners that are not considered State Entities associated with this Plan.

Customer Org	Customer Rep	Work Phone	Cell Phone	Work Email
<b>Customer: Sussex County Emergency Operations Center</b>				
<i>None Specified</i>				
<b>Customer: Kent County Division of Emergency Planning and Operations</b>				
<i>None Specified</i>				
<b>Customer: New Castle County Office of Emergency Management</b>				
<i>None Specified</i>				
<b>Customer: City of Wilmington Emergency Management Office</b>				
<i>None Specified</i>				
<b>Customer: Wilmington Police Department</b>				
Wilmington Police Department	Customer Rep	(302)654-5151		
<b>Customer: Bay Health Medical Center</b>				
Bay Health Medical Center	Customer Service	(302)555-5555	(302)777-7777	



## 6.4 Customer Partner State Entities

The table below shows Organizations listed as State Entities.

Business Entity	State Employee	Work Phone	Cell Phone	Work Email
<b>Entity: /Department of Finance</b>				
<b>Main Number: (302)577-8522</b>				
<i>None Specified</i>				
<b>Entity: /Other Elective-State Treasurer-Administration</b>				
<b>Main Number: (302)672-6700</b>				
<i>None Specified</i>				
<b>Entity: /Department of Human Resources-Division of Statewide Benefits-Insur Coverage Office of M &amp; B</b>				
<b>Main Number: (302)739-3651</b>				
<i>None Specified</i>				
<b>Entity: /Department of Human Resources-Office of the Secretary-Office of the Secretary</b>				
<b>Main Number: (302)573-3126</b>				
<i>None Specified</i>				
<b>Entity: /DOS-Delaware Public Archives-Delaware Public Archives</b>				
<b>Main Number: (302)744-5000</b>				
<i>None Specified</i>				



## 7.0 Call Tree

### Call Tree Refresh

Caller: Albuse Dumbledore				
	Work	Company Cell	Home	Personal Cell
	(333)333-3333	(302)562-6122	Not Defined	(333)333-4444

#### Calls the following people:

Employee	Work	Company Cell	Home	Personal Cell
Harry Potter	(111)111-1111	(111)111-1111	Not Defined	Not Defined
Ronald Weasley	(222)222-2222	Not Defined	Not Defined	(222)222-2222
Hermione Granger	(444)444-4444	(444)444-4444	(444)444-4444	(444)444-4444



## 8.0 Acronyms and Definitions

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### ACRONYMS

<b>AAR</b>	After Action Report
<b>BIA</b>	Business Impact Analysis
<b>COOP</b>	Continuity of Operations
<b>FEMA</b>	Federal Emergency Management Agency
<b>FOIA</b>	Freedom of Information Act
<b>HSEEP</b>	Homeland Security Exercise and Evaluation Program
<b>IP</b>	Improvement Plan
<b>MEF</b>	Mission Essential Function
<b>MOU</b>	Memorandum of Understanding
<b>NWS</b>	National Weather Service
<b>RPO</b>	Recovery Point Objective
<b>RTO</b>	Recovery Time Objective

### DEFINITIONS

**Activation** – When all or a portion of the COOP Plan has been put into motion. Activation may be full or partial.

**After Action Report (AAR)** – A report that summarizes and analyzes performance in both exercises and actual events. The report includes lessons learned, best practices, and an Improvement Plan (IP). The reports for exercises may also evaluate achievement of the selected exercise objectives and demonstration of the overall capabilities being exercised.

**Alternate Facility** – A location, other than the normal facility, used to process data and/or conduct essential functions in the event of a disaster.

**Business Impact Analysis (BIA)** – A method of identifying the effects of failing to perform essential functions. A BIA is a useful tool in helping an organization identify some of its primary business functions.



**Continuity Coordinator** – The individual that serves as the organization's manager for all COOP activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the organization to perform its essential functions during an event that disrupts normal operations. Selecting a COOP Coordinator is the first step in the COOP Plan process.

**Continuity of Operations (COOP)** – The effort to ensure an organization can continue its essential functions across a wide range of potential events.

**COOP Program** – An ongoing, cyclical model of planning, training, evaluating, and implementing corrective action for COOP capabilities.

**COOP Plan** – A documented plan developed to provide for the continuance of essential functions during an emergency.

**Delegations of Authority** – Identification of statutory or signatory authorities, those individuals holding the authority, and the alternate individuals responsible for assuming that authority should the primary be unavailable.

**Emergency Preparedness** – The discipline that ensures an organization's readiness to respond to an emergency or disaster in a coordinated, timely and effective manner.

**Essential Functions** – The limited set of organizational functions that must be continued or resumed rapidly after a disruption of normal activities.

**Essential Personnel** – Personnel that required in order to perform essential functions.

**Federal Emergency Management Agency (FEMA)** – The federal organization tasked with supporting citizens and first responders to ensure that as a nation, the United States works together to build, sustain, and improve its capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.

**Freedom of Information Act (FOIA)** – A federal and state law, which allows for the full or partial disclosure of previously unreleased information and documents under the control of government agencies.

**Homeland Security Exercise and Evaluation Program (HSEEP)** – A threat and performance-based exercise program developed by DHS that provides doctrine and policy for planning, conducting, and evaluating exercises. It was developed to enhance and assess terrorism prevention, response, and recovery capabilities at the federal, state and local levels.

**Hot Wash** – A post-event meeting where leadership and key personnel discuss best



practices of and potential improvements to the organization's overall preparedness.

**Improvement Plan (IP)** – A list of action steps and resources required to correct a deficiency identified in an After Action Report, including the individual responsible for the actions and an estimated timeline for completion.

**Location** – A facility containing the equipment, supplies, and voice and data communication lines to conduct transactions required to conduct business under normal conditions.

**Memorandum of Understanding** – A document that expresses mutual accord between two parties. To be legally operative, a memorandum of understanding must identify the contracting parties, spell out the subject matter of the agreement and its objectives, summarize the essential terms of the agreement, and be signed by the contracting parties.

**National Weather Service (NWS)** – A division of the National Oceanic and Atmospheric Administration (NOAA) that provides weather, hydrologic, and climate forecasts and warnings for the United States, its territories, and its adjacent waters and ocean areas, for the protection of life and property and the enhancement of the national economy.

**Orders of Succession** – A list that specifies by position who will automatically fill a position once it is vacated.

**Processes** - Specific supporting activities that an organization must conduct in order to perform its essential functions.

**Promulgation** – The process that officially announces/declares a plan and gives organizations both the authority and responsibility to perform their tasks.

**Reconstitution** – The phase by which the organization's personnel resume normal business operations in a rehabilitated or new facility.

**Record Retention** – Storage of historical documentation for a set period usually mandated by state or federal law.

**Recovery** – Recovery includes all types of emergency actions dedicated to the resumption of essential functions and operational stability.

**Recovery Point Objective** – The point of time from which the last recoverable back up of data can be restored. This is the maximum targeted period in which data might be lost from an IT service due to a major incident.

**Recovery Time Objective** – The period of time in which systems, applications or





essential functions must be recovered after a disruption of normal operations.

**Risk** – An ongoing or impending concern that has a significant probability of adversely affecting the organization.

**Tasks** - The set of specific actions that are performed to support a process or recovery function.

**Vital Records** – Records, files, documents or databases, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

**Vulnerability** – The susceptibility of an organization to a hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.



## 9.0 Documents

Attachment	Description
Emergency Procedures Statewide Template	Emergency Procedures Statewide Template
MOU Template	MOU Template
Phone Re-direct template	This chart indicates the what lines will be redirected in the event that phone lines are impacted at the primary work location.

# EMERGENCY PROCEDURES



## FIRE

- ▶ PULL NEAREST FIRE ALARM
- ▶ Evacuate. Meet at designated Assembly Points outside and account for all staff/visitors.
- ▶ Call Fire Department when safe.
- ▶ Do not re-enter building until directed by emergency personnel.



## MEDICAL EMERGENCY

- ▶ CALL 911
- ▶ Do not move the injured person
- ▶ Render first aid or CPR if you are trained and feel comfortable doing so.
- ▶ AED (Automatic Defibrillator) is located in hallway outside Conference Room 1



## POWER OUTAGE

- ▶ Remain calm and offer assistance to others.
- ▶ If safe to do so, turn off electrical devices.
- ▶ Wait for evacuation orders if necessary.



## CHEMICAL SPILL

- ▶ Evacuate contaminated area.
- ▶ Notify Administration staff.
- ▶ Advise others to stay clear of contaminated area.
- ▶ If needed, call Fire Department or Spill Cleanup Company.
- ▶ Let only trained personnel wearing appropriate protective equipment clean up spill.



## EVACUATION

- ▶ Evacuate building using nearest exit in a safe, orderly fashion.
- ▶ Assist persons with disabilities and/or special needs.
- ▶ Go directly to Assembly Point and wait there.
- ▶ Get head count to account for staff and visitors in your section.
- ▶ Report head count to official in charge.

## SEVERE WEATHER



- ▶ Take shelter.
- ▶ Move away from windows.
- ▶ Wait for evacuation orders.

## SUSPICIOUS OBJECT

- ▶ Do not touch or disturb object.
- ▶ Move at least 100 yards from object.
- ▶ Call 911.



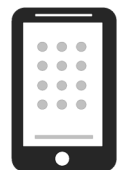
## ACTIVE SHOOTER

- ▶ Leave the area or building quickly and quietly, if safe to do so.
- ▶ If you can't leave, go to an area that can be locked or secured.
- ▶ Stay low, hidden and quiet.
- ▶ WHEN SAFE TO DO SO, CALL 911.
- ▶ If you encounter police, show your hands, follow commands and don't make sudden movements.

## IMPORTANT PHONE NUMBERS

Police and Fire ... 911

Facilities Management ...



AED LOCATION (Automatic Defibrillator)



MEMORANDUM OF UNDERSTANDING  
BETWEEN  
THE <Name of Organization> AND  
<Name of Organization>

I. INTRODUCTION

A. PURPOSE

This Memorandum of Understanding (MOU) between the <#1 Organization> and <#2 Organization> is jointly developed for the following purposes:

1. To provide temporary shelter, computer, and phone usage for <#1 Organization> employees to use at <#2 Organization Building Name> in the event of an evacuation during inclement weather, or during periods of damage to the physical structure of the <#1 Organization Building Name> located at <#1 Organization Building Name>;
2. To periodically test response and recovery of <#1 Organization> operations in accordance with this MOU.

II. ROLES AND RESPONSIBILITIES

A. <#2 Organization Name> Roles and Responsibility to <#1 Organization Name>

With respect to access:

1. Provide entry to <#2 Organization Building Name> at <Location>
2. Provide designated space for use by <Number> of <#1 Organization Name> employees for up to <Number> business days.
  - a) <Designated Area>
  - b) Use of restrooms during occupancy
  - c) Use of break room facilities during occupancy
  - d) <add additional items as necessary>

With respect to equipment:

1. Provide designated equipment for use by up to <Number> of <#1 Organization Name> employees for up to <Number> business days.
  - a) Work space including desks or tables and chairs

- b) Ability to use computers connected to the State Network
- c) Ability to use available Cisco VOIP phones
- d) **<add additional items as necessary>**

B. **<#1 Organization Name>** Roles and Responsibilities to **<#2 Organization Name>**

With respect to access:

- 1. Notify the **<#2 Organization>** of need to occupy facilities;
- 2. Take reasonable care during occupancy to keep from disrupting **<#2 Organization>**'s operations
- 3. Vacate occupancy area in an organized manner
- 4. Return the occupied area to its original layout and condition at the end of use of the facilities

With respect to equipment:

- 1. Make arrangements with the Delaware Department of Technology and Information prior to signature of this document in regard to connectivity of **<#1 Organization>** employees to **<#2 Organization>** computers connected to the State network. Options include Virtual Routing and Forwarding (VRF) or a Wireless Access Point (WAP).
- 2. Make arrangements with the Delaware Department of Technology and Information in regard to connectivity of **<#1 Organization>** employees to **<#2 Organization>** available Cisco VOIP phones if applicable.

III. Administration of the MOU

A. Liaisons

- 1. **<#1 Organization Name>** and **<#2 Organization Name>** shall each appoint a Liaison. The functions of the Liaisons will be to:
  - a) Ensure adherence to the MOU procedures;
  - b) Develop and maintain a positive interagency relationship;
  - c) Mediate conflict resolution;
  - d) Identify facility use needs and encourage and assist in the development of use of the facilities

2. <#1 Organization Designated Liaison>, <Business Phone Number>, <After Hours Phone Number>.

<#2 Organization Designated Liaison>, <Business Phone Number>, <After Hours Phone Number>.

B. Term of the MOU

The term of this MOU shall be reviewed <annually> beginning <Date>. Changes affecting this MOU must be communicated to both <#1 Organization Name> & <#2 Organization Name> Liaisons and may result from, but not be limited to:

- a) Changes in <#1 Organization Name> organizational occupancy of the <#1 Organization Building Name> building.
- b) Changes in <#2 Organization Name> organizational occupancy of the <#2 Organization Name Building> building; and
- c) Physical damage or destruction of the <#2 Organization Building Name> building which interferes with the effective implementation of this agreement

## Signatures

Organization #1  
Division Director

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Name Date

Organization #1  
Director

---

Name Date

Organization #2  
Director

---

Name Date

Organization #2  
Director

---

Name Date