

# Continuity Plan Template

**August 2024**

**Table of Contents**

[How to Use this Continuity Plan Template 4](#_Toc174629209)

[Promulgation Statement 6](#_Toc174629210)

[Approval and Implementation 7](#_Toc174629211)

[Confidentiality Statement 8](#_Toc174629212)

[Record of Changes 9](#_Toc174629213)

[Record of Distribution 10](#_Toc174629215)

[Introduction 11](#_Toc174629217)

[Purpose 11](#_Toc174629218)

[Scope 12](#_Toc174629219)

[Operational Profile 13](#_Toc174629220)

[Essential Functions 13](#_Toc174629222)

[Supporting Essential Activities 13](#_Toc174629224)

[Essential Functions and Supporting Essential Activity with Lead Table 14](#_Toc174629225)

[Essential Resources 14](#_Toc174629226)

[Essential Records and IT Functions 14](#_Toc174629228)

[Vital Records 14](#_Toc174629229)

[Databases and IT Systems 15](#_Toc174629230)

[Human Resources 15](#_Toc174629231)

[Orders of Succession 15](#_Toc174629232)

[Delegation of Authority 16](#_Toc174629233)

[Staffing 16](#_Toc174629234)

[Communications 17](#_Toc174629235)

[Activation 18](#_Toc174629236)

[Notification 22](#_Toc174629237)

[Continuity Facilities 22](#_Toc174629238)

[Internal Alternate Work Location(s) Table 23](#_Toc174629239)

[External Alternate Work Location(s) Table 23](#_Toc174629240)

[Reconstitution 23](#_Toc174629241)

[Devolution 25](#_Toc174629242)

[Training and Exercise 26](#_Toc174629244)

[Plan Maintenance and Review 27](#_Toc174629245)

## How to Use this Continuity Plan Template

This Continuity Plan Template acts as an outline for an organization’s continuity of operations (COOP) Plan. This Continuity Plan Template is intended to be completed with the Continuity Completion Guide found at the Minnesota Department of Health [Health Care Business Continuity and Recovery website (https://www.health.state.mn.us/communities/ep/coalitions/coop/index.html)](https://www.health.state.mn.us/communities/ep/coalitions/coop/index.html)).

## Promulgation Statement

**[Organization Name]** is a **[description of healthcare facility]** that provides **[description of services]**.

**[Organization Name]’s** mission is to **[mission statement]**.

To accomplish this mission, **[Organization Name]** must ensure its operations are performed efficiently with minimal disruption. This document provides planning and program guidance for implementing the **[Organization Name]** Continuity of Operations Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

Key **[Organization Name]** personnel who are activated under this plan are collectively known as the **[Name of group, such as Essential Continuity Personnel or Emergency Relocation Group]**. Upon plan activation, these members will deploy to **[continuity Facility Name and/or identify telework activation]**. Continuity personnel must establish an operational capability and perform essential functions within 12 hours from the time of the activation of the Continuity Plan, for up to a 30-day period or until normal operations can be resumed.

This plan has been developed in accordance with guidance in Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities; National Security Presidential Directive – 51/Homeland Security Presidential Directive – 20, National Continuity Policy; Homeland Security Council, National Continuity Policy Implementation Plan; Federal Continuity Directive (FCD) 1, Federal Executive Branch National Continuity Program and Requirements, February 2008; **[Organization Name]** Emergency Operations Plan (EOP); and other related Directives and guidance.

This promulgation serves as official approval of the Orders of Succession and Delegations of Authority outlined herein.

Signature **[Organization Head signs here]**

Date **[Organization Head dates here]**

Name (Printed) **[Organization Head’s name here]**

Title **[Organization Head’s title here]**

Organization Name **[Organization Name here]**

## Approval and Implementation

The **[Organization Name]** Continuity of Operations (COOP) Plan is hereby approved for implementation and supersedes all previous editions.

It is considered a living document, subject to update and revision based on real-world incidents and lessons learned.

This Plan is adopted with **[Organization Planning Committee Name]** review and approval.

Signature **[Organization Head signs here]**

Date **[Organization Head dates here]**

Name (Printed) **[Organization Head’s name here]**

Title **[Organization Head’s title here]**

Organization Name **[Organization Name here]**

## Confidentiality Statement

This document, along with its supporting documents, contains confidential information and are for official use only. These documents are to be controlled in accordance with the standard procedures followed for confidential information of the planning organization and are not to be released without prior approval of the **[Organization Head’s title]** to the public or other employees who do not have a valid “need to know.”

## Record of Changes

### Record of Changes Table

| **Date of Revision** | **Recommended Change** | **Revision Number** | **Name** |
| --- | --- | --- | --- |
| **[MM-DD-YYYY]** | Initial Development of Plan. | 1 | **[Continuity Planning Lead Name]** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Record of Distribution

### Record of Distribution Table

| **Date of Delivery** | **Number of Copies Delivered** | **Method of Delivery** | **Name, Title, and Organization of Receiver** |
| --- | --- | --- | --- |
| **[MM-DD-YYYY]** |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Introduction

Incidents such as 9/11 and disasters such as Hurricane Katrina which impacted dozens of healthcare facilities, the 2018 Camp Fire impacting Santa Rosa Medical Center resulting in a full scale evacuation, and the 2011 Joplin Tornado impacting St. John's Regional Medical Center resulting in catastrophic loss of infrastructure have demonstrated the need for continuity planning so healthcare facilities are able to provide patient care, ensure a safe working environment for their personnel, and continue their essential services during and after an emergency. COOP planning is different from other emergency operating procedures. While most other emergency operating procedures deal only with the immediate aftermath of a disaster (e.g., shelter-in-place, evacuation procedures), COOP plans address immediate response, short-term planning, and long-term planning. Furthermore, COOP planning focuses on the continuation of essential functions following an emergency.

The main elements of a COOP plan are (1) essential functions; (2) key personnel; (3) delegations of authority and orders of succession (4) critical records, databases, systems, and equipment; (5) alternate facilities; (6) communications; (7) reconstitution and devolution; and (8) Test, Training, and Exercises (TT&E). These elements are intertwined and dependent upon one another and enable a plan to be implemented smoothly and effectively during an emergency. Additionally, identification of the COOP elements will provide a framework for the reconstitution process and transition back to normal operations when the time is appropriate.

It is the responsibility of **[Organization Name]** to ensure patient services continue upon the occurrence of an emergency or disaster. As a result, **[Organization Name]** has developed and maintains an **[name of your organization’s base Emergency Operations Plan]** which addresses an all-hazards approach for response focused specifically on the first 96-hours of an emergency event and/or business interruption. The **[name of your organization’s base Emergency Operations Plan]** is the base plan for all readiness and response activities and the COOP plan supports this document providing guidance for operational continuation of essential functions beyond the first 96-hours of an emergency event and/or business interruption.

Continuity of operations is planning for the expected business interruptions all organizations anticipate and is a responsible business practice. It is not a matter of if, rather, a matter of when services will be interrupted. The changing threat environment and recent emergencies have shifted awareness to the need for COOP capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies.

### Purpose

While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on **[Organization Name]**’s mission, patients, personnel, and facility. The overall purpose of continuity planning is to ensure the continuity of the essential functions under all conditions.

The current changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity capabilities and plans that enable organizations to continue their essential functions in an all-hazards environment and across a spectrum of emergencies.

These conditions, coupled with the potential for terrorists’ use of weapons of mass destruction, have increased the importance of having continuity programs that ensure continuity of essential functions across communities.

### Scope

This Continuity Plan applies to the functions, operations, and resources necessary to ensure the continuation of essential functions of **[Organization Name and/or Department Name]** in the event normal operations are disrupted or threatened with disruption.

This plan applies to all personnel. All staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

This document ensures **[Organization Name and/or Department Name]** can conduct its essential functions under all threats and conditions, with or without warning.

The following publications were consulted in development of this COOP:

* Continuity Guidance Circular (CGC, FEMA National Continuity Programs, February 2018
* FEMA National Preparedness Directorate’s Comprehensive Preparedness Guide 101, Developing and Maintaining Emergency Operations Plans, November 2010

The Secretary of Health may exercise certain powers authorized by the Public Health Act or the Public Health Emergency Response Act during a public health or medical emergency, including the ability to direct isolation and quarantine measures; secure or evacuate health care facilities; and regulate or ration health care and medical supplies.

## Operational Profile

This section provides a high-level operational summary of **[Organization Name and/or Department Name]** .

### Operational Profile Table

|  |  |
| --- | --- |
| **Number of Total Available Staff** |  |
| **Essential Function Staffing Requirements** |  |
| **Primary Operational Location** |  |
| **Hours of Operation** |  |
| **Building Access Description** |  |
| **Security Measures** |  |
| **Telework Capabilities** |  |
| **Regulatory Requirements** |  |

## Essential Functions

Essential functions are intended to be resumed within 12 hours of a continuity incident, with the continuity plan ensuring 30 days of business continuity.

The following essential functions have been identified by **[Organization Name and/or Department Name]** and cannot be deferred during an emergency.

### Essential Function and Identified Lead Table

| **Essential Function(s)** | **Lead(s)** |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

### Supporting Essential Activities

Supporting essential activities are sub-tasks which are necessary for the success of an essential function.

The following supporting essential activities, i.e., activities that must occur for essential functions to be maintained, have been identified by **[Organization Name and/or Department Name]**.

### Essential Functions and Supporting Essential Activity with Lead Table

| **Essential Function(s)** | **Supporting Essential Activities** | **Lead(s)** |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## Essential Resources

The **[Organization Name and/or Department Name]** essential and supporting essential activities will require certain types and amounts of resources to be viable during a continuity incident.

### Essential Resources Table

| **Essential Function(s)** | **Supporting Essential Activities** | **Essential Resources** |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## Essential Records and IT Functions

As **[Organization Name and/or Department Name]** works towards achieving this continuity planning element the primary considerations for successful completion mean the following have been planned for: identification, protection, and availability of information systems and applications electronic and hardcopy documents, references, and records needed to support essential functions.

### Vital Records

The following documents have been identified as needing to be present in hard copy format for staff members to utilize in the event of a COOP activation.

#### Essential Records Packet Identification Table

| **Essential Function(s)** | **Vital Record Name** | **Type (Electronic or Hardcopy)** | **Primary Location** | **Secondary**  **Location** |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

### Databases and IT Systems

The healthcare system landscape as we understand it has a heavy reliance on information technology systems; from medication administration to cleaning records, the ability to record and access these records is vital to the health and safety of healthcare facilities. Without access to databases and/or IT systems, a facility is at risk for negative outcome events and significant impact to patient care.

The following IT Systems were identified as necessary to perform one or more of the essential functions and/or supporting essential activities for **[Organization Name and/or Department Name]**:

#### Essential Information Technology: Identification Table

| **Essential Function(s)** | **IT System Name** | **IT Equipment** | **Maximum Tolerable Downtime (MTD)** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Human Resources

An organization’s essential functions are related to and impacted by the availability of staff members. It is vital to identify, by essential function, what types of staff members are necessary, to include numbers and shift differences.

This identification process also includes determining orders of succession and delegation of authority which ensures availability of decision makers who have the approval to make operational and/or financial decisions in the event the primary leader is not available or incapacitated.

### Orders of Succession

Orders of Succession are pre‐defined positions and/or individuals who will succeed the primary in the event they are unavailable or unable to provide guidance during a business interruption.

The following positions have been identified as the individuals with the knowledge and skillset to ensure **[Organization Name and/or Department Name]**’s essential functions and supporting essential functions are maintained.

### Delegation of Authority

Delegation of authority is provisional authority that is determined prior to an event occurring and provides the right leadership with the ability to make decisions during business interruptions. Delegation of authority may be a pre-defined list of responsibilities and decision-making authority, or it may be defined in broader terms, such as administrative or emergency.

Typically, once the event and/or incident has concluded or a higher level of authority has been located, the delegation will be returned to the higher level. If a higher level is not readily available after the event, the authority will remain in effect until replacements can be made at the correct level.

The following delegation of authority by orders of succession have been identified to ensure **[Organization Name and/or Department Name]**’s essential functions and supporting essential functions are maintained:

#### Delegation of Authority by Orders of Succession Table

| **Essential Function(s)** | **Lead(s)**  **Title/Phone #** | **Secondary**  **Title/Phone #** | **Authority** | **Tertiary**  **Title/Phone #** | **Authority** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

### Staffing

This section is intended to identify the minimum staffing requirements for **[Organization Name and/or Department Name]** to perform and maintain its essential functions.

#### Continuity Staffing Matrix Table

| **Essential Function(s)** | **Staff Type** | **# Required** | **Notes** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Communications

**[Organization Name and/or Department Name]** possesses and has dedicated access to fixed and mobile communications capabilities in enough quantity and mode/media at their primary and continuity facilities to ensure the continuation of essential functions. Identified leadership, to include the President/CEO, all individuals who may serve as an Administrator-on-Call and all individuals who may serve as a Clinical Coordinator (House Supervisor) who may make use of Government Emergency Telecommunications Service (GETS) and Wireless Priority Service (WPS) to provide assured and priority access to communications resources.

Day-to-day communications capabilities rely upon telephone (digital and dedicated analog landlines and cell phones), radio, email, and website.

The Information Technology department provides telephone communications services and equipment for **[Organization Name and/or Department Name]** and operates, maintains, and restores telephone and provides direct operational support to implement continuity communications.

Facilities Leadership, in coordination with any security personnel, provide radio communications services and equipment for **[Organization Name and/or Department Name]**. Facilities Leadership provides operational support to implement continuity communications.

In a COOP activation **[Organization Name and/or Department Name]** will report all damages to and shortfalls in communications capabilities to the Information Technology department. These are addressed to ensure continuity communications are operational within 12 hours of COOP activation and capable of sustained usage of no less than 30 days after an incident or until normal business operations can be resumed.

**[Organization Name and/or Department Name]** has proven processes to communicate its operating status with its personnel for emergency situations that prevent significant numbers of employees from reporting to work. In COOP situations **[Organization Name and/or Department Name]** will implement these processes to contact and account for all personnel and routinely update them on situation status and instructions.

Alternative means for employees to contact the facility shall also be established such as phone and email groups, toll-free telephone numbers and intranet/internet capabilities that allow personnel to notify of their status.

See the **[Organization Name and/or Department Name]** **[Organization Information Sharing/Communication Plan Name]** for detailed plans relating to establishing communication modalities for distribution to patients/families and the public.

### Activation

To ensure the ability to attain operational capability at continuity facilities and with minimal disruption to operations, **[Organization Name and/or Department Name]** will execute activation plans as described in the following sections.

Based on the type and severity of the emergency, the COOP Plan may be activated by one of the following COOP Plan Activation Leads:

1. **[Highest/Primary Level of Leadership and/or as identified by COOP Planning Team]** i.e., President/Chief Executive Officer (CEO)
2. **[Second/Secondary Highest Level of Leadership and/or as identified by COOP Planning Team]** i.e., Administrator-on-Call
3. **[Third/Tertiary Highest Level of Leadership and/or as identified by COOP Planning Team]** i.e.,Clinical Coordinator (House Supervisor)

COOP Plan activation is a scenario-driven process that allows flexible and scalable responses to the full spectrum of all-hazards/threats that could disrupt operations with or without warning and during work or non-work hours.

COOP Plan activation will not be required for all emergencies or disruptions since other actions may be more appropriate. The decision to activate the COOP Plan and related actions will be tailored for the situation and based on projected or actual impact and whether there is warning.

To support the decision-making process regarding plan activation, **[Organization Name and/or Department Name]** personnel will use the decision matrix below for guidance.

#### Decision Matrix for Continuity Plan Activation Table

| **Event Notice Type** | **Questions to Consider for Continuity Plan Activation** | **Next Steps** |
| --- | --- | --- |
| Event with Warning | * Is the threat aimed at the facility or surrounding area? * Is the threat aimed at organization personnel? * Are patients unsafe remaining in the facility and/or area? * Are employees unsafe remaining in the facility and/or area? * Will the infrastructure of the facility be compromised as a result of this event? | If the answer is **“Yes”** to any of these questions the identified Continuity Plan Activation Leads will activate the Incident Command (IC) and discuss the impact of the event in relation to **[Organization Name and/or Department Name]** ability to perform their essential functions.  If one or more essential function(s) are jeopardized as a result of this event the **[Organization Name and/or Department Name]** COOP Plan will be activated by the identified COOP Plan Activation Lead. |
| Event without Warning | * Is the facility affected? * Are patients affected? Have patients safely evacuated or are they sheltering-in-place? * Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? * What are instructions from first responders and/or local Emergency Management? | If the answer is **“Yes”** to any of these questions the identified COOP Plan Activation Leads will activate the Incident Command (IC) and discuss the impact of the event in relation to **[Organization Name and/or Department Name]** ability to perform their essential functions.  If one or more essential function(s) will be jeopardized as a result of this event the **[Organization Name and/or Department Name]** Continuity Plan will be activated by the identified Continuity Plan Activation Lead. |

As the decision authorities, **[Highest/Primary Level of Leadership and/or as identified by COOP Planning Team]**, **[Second/Secondary Highest Level of Leadership and/or as identified by COOP Planning Team]**, and/or the **[Third/Tertiary Highest Level of Leadership and/or as identified by COOP Planning Team]** will be kept informed of the threat environment using all available means, including the **[Organization Name and/or Department Name]** **[Organization Information Sharing/Communication Plan name]**.

#### Activation Levels

The following are varying levels of COOP activation for **[Organization Name and/or Department Name]**:

#### COOP Activation Levels Table

| Activation Level | Facility Impact | Staff Impact | Patient Impact | IT Impact |
| --- | --- | --- | --- | --- |
| Level 4  Highly Intense | Catastrophic Failure: infrastructure is no longer capable of patient care; evacuation of building is necessary and/or ordered | Catastrophic Failure: staff are no longer able to adequately provide care and/or available | Catastrophic Failure: patient care is no longer possible, devolve and transfer to alternate care facility | Catastrophic Failure: data centers are non-functional |
| Level 3  Intense | Major interruption: facility infrastructure is capable of patient care for 96 hours or less | Major interruption: all staff can perform essential functions and supporting essential functions, but some non-essential functions have to be paused; beginning to prepare for a possible evacuation | Major interruption: staff must relocate patients internally and focus shifts to ensuring patient’s clinical stability | Major interruption: one or more essential applications are non-functional and/or data center is no longer operable |
| Level 2  Moderately Intense | Minor and/or Major interruption; facility infrastructure is still capable of patient care, but repairs are needed | Minor and/or Major interruption; all staff can perform essential functions and supporting essential functions, but some non-essential functions must be paused | Major interruption: staff may have to relocate patients internally | Minor Interruption: all essential applications are functional but some supporting essential applications are non-functional |
| Level 1  Minimally Intense | No interruption | Minor interruption: all staff can perform essential functions and supporting essential functions with minimal impact  **Safety Officer and/or designee is actively monitoring the event** | Minor interruption: staff may have to implement one or more downtime procedures, but the anticipated length of time will not exceed two hours | No interruption: All essential and supporting essential applications and respective servers are fully functional |

### Notification

**[Organization Name and/or Department Name]** maintains plans and procedures for communicating and coordinating activities with patients and personnel before, during, and after a continuity event.

Before an event, personnel will monitor advisory information disseminated internally by email and/or supervisors.

In the event normal operations are interrupted or an incident appears to be imminent, **[Organization Name and/or Department Name]** will take the following steps to communicate operating status with appropriate stakeholders:

1. The **[Highest/Primary Level of Leadership and/or as identified by COOP Planning Team]**, **[Second/Secondary Highest Level of Leadership and/or as identified by COOP Planning Team]**, and/or the **[Third/Tertiary Highest Level of Leadership and/or as identified by COOP Planning Team]** will notify all levels of leadership of the emergency requiring Continuity Plan activation.
2. Upon the decision to activate the COOP Plan, **[Organization Name and/or Department Name]** will notify all personnel with information regarding continuity activation status, operational and communications status, and the anticipated duration of activation utilizing the **[Organization Name and/or Department Name]**’s emergency notification system.
3. As directed, **[Organization Name and/or Department Name]** personnel will notify patients, family members, next of kin, and/or emergency contacts of Continuity Plan activation.

## Continuity Facilities

Continuity facilities, or alternate work locations, are locations from which leadership and critical positions may operate during a continuity event. Internal alternate work locations need to be documented, as well as external.

The primary day-to-day operations location for **[Organization Name and/or Department Name]** is **[Organization and/or Department physical address]**.

In the event the primary location becomes inoperable, see the tables below for pre-designated, internal, and external, work locations.

### Internal Alternate Work Location(s) Table

| **Essential Function(s)** | **Normal Business Location** | **Alternate Location #1** | **Alternate Location #2** | **Equipment/ Supply Needs** | **Notes** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

### External Alternate Work Location(s) Table

| **Essential Function(s)** | **Normal Business Location** | **Alternate Location #1** | **Alternate Location #2** | **Equipment Needs** | **Notes** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

## Reconstitution

Reconstitution is the plan for resumption of normal business operations while maintaining essential functions.

Within the amount of time designated by the Incident Commander, the following individuals will initiate and coordinate operations to salvage, restore, and recover the facility after receiving approval from the appropriate State and local law enforcement and emergency services:

* A Reconstitution Manager will be assigned for all phases of the reconstitution process.
* **[Organization Name and/or Department Name]** Department Directors and/or Managers will be the reconstitution point-of contact (POC) to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution and provide names of reconstitution POCs to the Incident Commander.

During a COOP Plan activation, the Incident Commander should determine the status of the primary operating facility affected by the event by requested situational reports from responders. Upon obtaining the status of the facility, **[Organization Name and/or Department Name]** will determine how much time is needed to repair and/or acquire a new facility. This determination is made in conjunction with the **[Highest/Primary Level of Leadership and/or as identified by COOP Planning Team]**, **[Second/Secondary Highest Level of Leadership and/or as identified by COOP Planning Team]**, and/or the Board of Directors. Should **[Organization Name and/or Department Name]** decide to repair the facility, the **[Title]** has the responsibility of supervising the repair process.

Reconstitution will commence when the **[Highest/Primary Level of Leadership and/or as identified by COOP Planning Team]**, **[Second/Secondary Highest Level of Leadership and/or as identified by COOP Planning Team]**, and/or the Incident Commander ascertains the emergency has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity Plan. Once the appropriate authority has made this determination in coordination with other State, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

* Continue to operate from the continuity facility.
* Reconstitute **[Organization Name and/or Department Name]** and begin an orderly return to the facility.
* Begin to establish a reconstituted **[Organization Name and/or Department Name]** in another facility.

Before relocating to the primary operating facility or another facility, the information technology leads will verify all data centers and servers/applications, communications, and other required capabilities are available and operational, and that **[Organization Name and/or Department Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility. Upon a decision that **[Organization Name and/or Department Name]** can be reoccupied, or that **[Organization Name and/or Department Name]** will be reestablished in a different facility:

* Facilities Leadership and/or designee should notify appropriate all leadership with information regarding continuity activation status, the continuity facility, operational and communication status, and anticipated duration of relocation.
* Facilities Leadership and/or designee will develop space allocation and facility requirements.
* The Public Information Officer (PIO) will notify all personnel of the emergency or threat of emergency has passed, and actions required of personnel in the reconstitution process using the **[Organization Name and/or Department Name]** emergency notification system.
* Facilities Leadership and/or designee will coordinate to obtain office space for reconstitution if the primary operating facility is uninhabitable.
* Human Resources will develop procedures for restructuring staff.

Upon verification that the required capabilities are available and operational, and that **[Organization Name and/or Department Name]**  is fully capable of accomplishing all essential functions and operations at the new or restored facility, the identified Continuity Coordinator and/or designee will begin coordinating, in conjunction with all leadership, a return of personnel, equipment, and documents to the temporary or new facility. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule established by the Incident Commander.

**[Organization Name and/or Department Name]**  continuity personnel will continue to operate at their identified alternate location and/or remotely until ordered to cease operations and at that time, essential functions will transfer to the primary operating facility. **[Organization Name and/or Department Name]** will develop plans to instruct personnel on how to resume normal operations and will develop resumption plans based on the incident.

The Medical Records Department will identify any records affected by the event and will effectively transition and/or recover Essential Records and databases, as well as other records that had not been designated as Essential Records. Finally, the Medical Records Department will develop Essential Records transition and recovery plans.

The identified Continuity Coordinator and/or designee will oversee the transition of all functions, patients, personnel, equipment, and records to the new or restored facility. Human Resources will develop a process for receiving and processing employee claims during the continuity event, including processing Human Resources claims (such as, Workers’ Compensation, compensation for injuries, overtime pay, etc.) and replacing lost or broken equipment.

**[Organization Name and/or Department Name]** will conduct an After-Action Review (AAR) once back in the primary operating facility or in a new primary operating facility. The Safety Officer is responsible for initiating and completing the AAR and all departments will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement and document these in the **[Organization Name and/or Department Name]** Improvement Plan (IP). In addition, the AAR will identify which, if any, records were affected by the incident, and will work with Medical Records Department to ensure an effective transition or recovery of Essential Records and databases and other records that had not been designated as Essential Records. AAR/IP documentation is maintained by the Safety Officer.

## Devolution

Devolution is the capability to transfer statutory authority and responsibility for the organization’s essential functions from the primary operating staff and facilities to another organization’s employees and facilities.

Devolution is the last resort for maintaining an organization’s essential functions and typically is a result of a catastrophic failure. The trigger for devolution is typically the inability for staff and physical infrastructure to be compromised, but it could just be one or the other that triggers this.

**[Organization Name and/or Department Name]** is prepared to devolve (transfer) all patient care to like-facilities should emergency events render staff unavailable to provide patient care and/or **[Organization Name and/or Department Name]** is unable to provide patient care at designated alternate location sites.

**[Organization Name and/or Department Name]** will utilize their existing evacuation plan located in the emergency operations plan for transferring patients from the facility to an identified receiving facility.

See the table below for **[Organization Name and/or Department Name]**’s Essential Function Devolution of Control Matrix.

### Essential Function Devolution of Control Matrix Table

| **Essential Function(s)** | **Devolution Partner #1** | **Devolution Partner #2** | **Notes** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Training and Exercise

**[Organization Name and/or Department Name]** implements and documents a systematic training program to develop and sustain capabilities to implement its emergency management program, to include the COOP Plan. The training program may include the following activities:

* COOP awareness briefings for all personnel.
* Function-specific training on activating, supporting, and sustaining COOP operations.
* Training for leadership on the essential elements of COOP and their specific roles and responsibilities. These sessions may include successors and personnel who are pre-delegated authorities for implementing the plan.
* Training on continuity communications and information technology systems to be used in a COOP situation. These sessions may include identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions.

**[Organization Name and/or Department Name]** complies with all **[a regulatory agency i.e., Joint Commission and/or CMS]** standards and requirements pertaining to emergency management, specifically exercises.

After-Action Report with Improvement Plans (AAR/IP) are produced after each exercise activity or actual event requiring COOP implementation; changes to the Continuity Plan are made as required.

## Plan Maintenance and Review

This COOP Plan was developed through a formal planning process involving **[participating Organization Names and/or Department Names]**. It has been distributed internally to appropriate personnel and with external organizations that might be affected by its implementation.

This plan follows the revision schedule of the **[participating Organization Names and/or Department Names]** **[Name of your Organization’s base Emergency Operations Plan].**