State of Utah

Division of Purchasing & General Services

FY18 Continuity of Operations Plan (COOP)

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General Information

PURPOSE
[EMAP Requirement]

The purpose of this plan is to support the efforts of the Division of Purchasing and General Services to perform its Essential Functions, even during time of emergency or disaster. The purpose of this plan is to support DAS (Department of Administrative Services) efforts to perform all necessary tasks to ensure the health and safety of the Utah Division of Purchasing & General Service employees and to manage the state's cooperative contracts, provide mail preparation and distribution services, account and ethically dispose of State-owned property, provide print services and digital copier services to state agencies, cities, and special service districts, during and after a disaster or emergency which affects the Department's buildings, staff, and/or infrastructure.

MANAGEMENT AUTHORIZATION
In preparation for unexpected disruptions in service provided to the citizens of Utah, the division has a clear mandate regarding Continuity of Operations planning. While the various functions of the division do not have a direct impact on public health and safety, it does have a mandate or implied mandate to manage the state's cooperative contracts, provide mail preparation and distribution services, account and ethically dispose of State-owned property, provide print services and digital copier services and must plan accordingly.

AUTHORITIES AND REFERENCES
A. State of Utah Continuity Directive, August 1, 2012.
B. State of Utah Purchasing Code, Title 63G.
C. Emergency Interim Succession Act, Utah Code 53-2a-8.
D. The State Emergency Operations Plan.
E. External Utah DAS Purchasing Policy #17 (Emergency Purchase Process for Executive Branch Agencies).

SCOPE OF THE PLAN
[EMAP 4.6.1, 4.6.2, 4.6.5 Requirement]

This Continuity of Operations Plan describes in general terms how the Division of Purchasing intends to respond to events that disrupt its normal operations. Disruptions may be minor or may include instances where normal agency functions and services cannot be performed and may not be performed for an extended period of time. Continuity of Operations planning minimizes the impact of disruption while maximizing resources available to resume normal operations. The Plan does not focus on what may bring the agency down, but on how to get the agency back up and operational. The Plan provides a road map of predetermined actions which will reduce decision making during recovery operations, resume critical services quickly, and enable resumption of normal service at the earliest possible time in the most cost effective manner. The Plan will help in reducing the number and magnitude of decisions that must be

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made during the period when exposure to error is peak. The Plan will help to establish, organize, and document risk assessments, responsibilities, policies and procedures, and agreements or understandings for the Utah Division of Purchasing.

The ongoing Continuity of Operations planning process will enable the Division of Purchasing to identify maximum acceptable downtimes which can be incurred in the performance of each of its mission related functions, and to identify recovery actions accordingly. Functions and/or services which must be restored within 24-48 hours require significantly different recovery actions than those, which can be delayed a number of days or weeks.

Since the Continuity of Operations Plan may affect nearly every part of the Utah Department of Administrative Services, the Executive Director will approve the process for developing and maintaining the Continuity of Operations Plan.

SITUATION AND ASSUMPTIONS

The State of Utah and its population are at risk from a variety of threats and potential incidents. A detailed list of identified risks and hazards can be found in the State Hazard Mitigation Plan.

Plan: Preparedness efforts in the areas of planning, training, exercises, and funding for infrastructure and equipment is ongoing. The occurrence of any of these emergencies may require the activation of extraordinary continuity of operations activities, as detailed in this Continuity of Operations Plan.

1. An unforeseen incident, such as an earthquake or terrorist incident may occur with little or no warning and produce maximum casualties and widespread damage. This COOP plan assumes that the service capabilities of the Department will be quickly overwhelmed.

2. The large number of casualties and/or significant damage to Department buildings, structures, and the basic infrastructure will necessitate State and possibly federal government assistance to support the division in conducting life-saving, life support, and service recovery efforts.

3. The Division may need to respond on short notice to continue effective and timely services and assistance to local governments to help alleviate suffering and protect property and it may continue operations via borrowing purchasing personnel from other departments or polysubs.

ADDITIONAL DEPARTMENT ASSUMPTIONS

1. This COOP is in development and will require continuous upgrading and testing.
2. This COOP will be supplemented and enhanced by the Department of Administrative Services Coop Plan.
3. This plan will initially require frequent editing and upgrading.
4. Once a comprehensive COOP is in place, it will require at least an annual review.
5. Lists containing employee information (call lists, COOP team composition, etc.) will need to be reviewed and updated quarterly.

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PROTECTION/SAFEGUARDING/RECOVERY OF CRITICAL APPLICATIONS AND DATA

[EMAP Requirement]

[Amie Hughes, DTS, amiehughes@utah.gov, 801 520-8241]

As set forth in Utah Code 63F-1-104, the Department of Technology Services serves as general contractor between the state's information technology users, including the Division of Purchasing and General Services, and private sector providers of information technology products and services. It is responsible for all computerized and auxiliary automated information handling, including:

a. systems design and analysis;
b. acquisition, storage, and conversion of data;
c. computer programming;
d. information storage and retrieval;
e. voice, radio, video, and data communications;
f. requisite systems and controls;
g. simulation; and
h. all related interactions between people and machines.

Specific applications and database, as identified in the above-mentioned contract, are listed in Appendix G-2 "Key Agency Function Analysis" and Appendix G-3 "Key Agency Function Priority List Essential Processes and Functions" for each of the Division's identified essential functions. These databases include all vital records for which the Division has custodianship. With access to Internet, employees can carry out essential functions using laptop computers.

Details: How DTS backs up our data

[EMAP Requirement]

[Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241]

Any data on the Division's shared drive is on a Windows File server that allows DTS to take advantage of a product known as 'Volume Shadow Copy' and this copy takes place every day at noon and 7pm. There is a nightly backup that has a 7 revision policy, meaning they maintain 7 changes of the same data. The extra versions are saved for 60 days. If something is deleted outright, it is saved for 121 days before being removed from the server. There is also a monthly archive that takes place and data from that is maintained for 7 years. The physical location of Division data would be at the servers at the State Capitol. Once the servers are full the data is backed up on a tape. In addition to this backup there is a nightly backup that is sent to Richfield.

Hosted applications are typically backed up via an application called Tivoli nightly and retained for 30 days.

Most employees also perform many of their duties and have many of their documents shared in Google Drive, Gmail, and Google Calendar. Google has multiple redundant sites to save and backup that

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information. DTS does not back up the Google data.

In the event the whole facility housing DTS is destroyed or otherwise unavailable, including the use of the main computer system, management will relocate to their designated alternate site. The computer "hot site" backup system will provide sufficient data communication resources to support DTS management and full DTS services from this location until their normal capability is restored. DTS should not expect to have normal data processing services available for at least 36 hours after impact.

COMMUNICATIONS RESOURCES

[EMAP Requirement]

The Division must have the resources to communicate to entities which are superior, lateral, subordinate and internal. For example, this would include the federal government, other states, counties and our staff. All modes of communications shall be considered, from emails and social media, to phones, radios and runners. DTS is responsible to provide email and phone communications resources. These resources and procedures are listed in detail in the State Emergency Operations Plan, in the ESF #2 Communications Annex. Specific radio communications resources include ARES, RACES and FNARS and details regarding radio communications can also be found in the ICS Form 205, in the State IAP, during disasters. For detailed information regarding communications policies with employees during emergencies, please see the Employe Handbook or the Division's Staff reporting Procedures Appendix in this plan.

LOGISTICS SUPPORT AND RESOURCE REQUIREMENTS

[EMAP Requirement]

Logistics support and resource requirements for implementation of this plan to carry out essential functions are identified in Appendices G-2 #1-4 "KEY AGENCY FUNCTION ANALYSIS", including, but not limited to staffing, technology, facilities, and office equipment and supplies. If external support or resources are required, such as in a catastrophic earthquake when multiple agencies are impacted, requests for assistance will be forwarded to the State Emergency Operations Center. In turn, the EOC will direct the request to an appropriate state agency or the Emergency Support Function #7 Resource Support (ESF #7).

The Department of Administrative Services and DTS are key support agencies for ESF #7. Division of Facilities and Construction Management will assist with handling requests for the securing of alternate facilities. DTS provides support for information technology and communications.

Depending upon the situation, if the Department cannot adequately staff its essential functions, it can request assistance from the Department of Human Resources. A request could also be handled by the Emergency Management Assistance Compact (EMAC) desk in the State Emergency Operations Center (EOC).

Logistics support and resource requirements include access to the State's financial management systems. See the Finance Annex of the State Emergency Operations Plan.

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PLAN MAINTENANCE

[EMAP Requirement]

This Plan will be reviewed and revised on an annual basis.

[Andy Wright, State Mail, awright@utah.gov, (801) 323-4305]

[Dan Martinez, Surplus Property, danmartinez@utah.gov, (801) 619-7200 Cell (801) 448-4450]

During the planning process, the division will use an all-hazards approach to include all types of emergencies, big or small. The call-down lists and phone numbers will be updated on a quarterly basis or as personnel change. The update will be recorded on the Continuity of Operations Plan Update/Review Log. The updated plan will be shared with management, staff and key external partners.

COOP plan shall be found in the following locations:

1. The F-drive
2. Google Drive (which is shared with the Director, Assistant Directors, and Susan Thomas, Continuity Program Manager, DEM)
3. 3150 State Office Building, front desk
4. State Mail Distribution's COOP plan, 250 N 1950 W, SLC, UT
5. Surplus Property' COOP plan, 447 West 13775 South, Draper, UT

Testing

The COOP plan will be exercised every spring, in conjunction with the Great Utah ShakeOut exercise. Lessons learned from the COOP exercise will be integrated into the plan as it is updated every year during the month of May.

Unscheduled Testing/Events

As mandated by the Governor's Office, State Homeland Security, FEMA, or structural changes to the Department of Administrative Services.

CONTINUITY OF OPERATIONS STRATEGY

Effective and timely recovery from an impact situation requires clear thinking and decisive action to restore systems in order of priority. This continuity strategy is provided to assist Department management during the recovery period. Resources are likely to be scarce, communication may be disrupted, frustrations will exist and emotions will be strained. Having a clear strategy will help management work together during the crisis period.

The COOP includes a list of the key functions of the agency. Appendix G-3, "Key Agency Function Priority List Essential Processes and Functions**,"** is a list of the key functions of the agency. They are shown in order of priority and every effort should be made to recover them in this order. This will ensure that limited resources will be applied to recover those systems most critical to this agency's ability to function. Exceptions to this will made by the Department Executive Director or designee and will be based on unique and extenuating circumstances of the event.

Service interruptions can be in basically three classes: 1) loss of access to technology and data processing

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capabilities, 2) loss of facilities, or 3) both.

LOSS OF THE DIVISION FACILITIES

(Assumes other agency facilities in general vicinity are undamaged)

If Division offices are lost in an impact situation and the Division's essential functions can be moved, critical essential functions will be undertaken at another facility. Employees will be reassigned there until the primary office is restored or new facilities are completed. Employees may also telework and perform essential functions remotely. Critical staff may stage from the Surplus Property warehouse in Draper, UT.

CONTINUITY OF OPERATIONS TEAM

1. Division Director
2. Assistant Director
3. Purchasing COOP Program Manager
    a. EDO Public Information Officer
    b. Director of Information Technology
    c. DFCM Maintenance and Operations Manager
    d. DAS Finance Manager
    e. DHRM Specialist
    f. Emergency Operations Center Team Lead (ESF 7 Logistics)
4. Mail Distribution Manager/field team leader
5. Surplus Property Manager/field team leader

Key individuals have been appointed to the Continuity of Operations Team based on their knowledge of the Department's policies and operations and on their authority to act in time of crisis. In the event an impact situation is declared and this Continuity of Operations Plan is put into action, all employees are directed and empowered to take direction from management, and if management is not available, from the Continuity of Operations Team members until the condition is resolved and normal lines of authority have been restored.

If a disruption is imminent or should occur, the Continuity of Operations Team members will immediately contact the other members of the team and establish an appropriate communication plan under the circumstances. This will normally entail a meeting at the designated Recovery Control Location. Once a disruption situation is declared, management (or if management is unavailable, the Continuity of Operations Team) is empowered to act in all affairs pertaining to the Division. It is the duty of all team members to respond and participate in the management of the event. If a team member is unable to respond, the remaining team members will function as the Continuity of Operations Team.

The Continuity of Operations Teams and team leaders have been designated. When the Continuity of Operations team has been assembled, the individual highest on the list will organize and direct the team.

Representatives from finance, facilities, human resources, EDO and DTS provide the Division COOP Team with support.

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CONCEPT OF OPERATIONS

[EMAP Requirement]

Upon the declaration of the DAS COOP plan, management (or if management is unavailable, the Continuity of Operations Team) and their designated support personnel (other designated COOP teams) are to relocate to the nearest viable /functioning Recovery Control Location. Once the team has attained detailed situation awareness, they can begin assessing available facilities to support the essential and non-essential functions of the Department. Depending on the projected duration of the COOP plan, decisions will be made by management or the Team to determine which staff will be called back to work and when and where they are to report.

Essential Functions are to be recovered as quickly as possible and reasonable notification to the EOC, other agencies, vendors, and customers as to the accessibility to functions and services will be made. All efforts are to minimize the distance and inconvenience needed to safely recover critical functions outside of the affected area.

AGENCY FUNCTION IDENTIFICATION

Critical vs. Non-Critical

The biggest challenge to identifying division functions lies in knowing how specific to be. By being more specific, we will be able to separate the functions that really must occur from the ones that can be recovered later. For purposes of this Plan, division functions will be classified as either critical or non-critical. Critical Functions are those functions that are essential to the immediate support of the agency's primary mission. Non-critical functions are those agency functions that are not essential to the immediate support of the agency's primary mission.

In order to sustain and/or recover division functions during a time of crisis, it is imperative to understand which functions are critical to the division's ability to provide services. Priorities must be viewed in a new light in the context of Continuity of Operations. Each function the division performs must be identified and then evaluated in terms of recovery priority.

Utilizing the Key Agency Function Analysis form, the following recovery priorities have been established by Division of Purchasing:

Priority I: Initial assessment of resources (employees, laptops, internet, phone)
Priority I: Finance - payroll for employees.
Priority I: Ability to communicate with Department's Public Information Officer (PIO), supporting departments/divisions, and external messaging.
Priority I: Ability to complete RQS/RQM requests for state agencies.
Priority I: Ability to staff the Division's ESF 7 EOC functions.
Priority II: Reimbursements to employees and invoice payments.
Priority III: Preparedness, Training and Exercise efforts.

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Critical (Priority I) Functions: Within 48 Hours
Priority I functions, as defined in this plan, are reestablished.

Essential (Priority II) Functions: Within 7 Days
Less critical services defined in this plan as Priority II functions will be restored.

Non-Essential (Priority III) Functions: Within 30 Days
Priority III functions, if any, will be provided. It is understood that some services and controls may not be restored until full recovery has been achieved.

CONTINUITY OF OPERATIONS TIMELINE

This timeline is a summary of the situation reaction and subsequent recovery process. It is designed to help Division management keep perspective and focus during times when abnormal events and subsequent problems can distort the normal judgement and decision processes. A second goal is to educate staff that is not regularly involved in the planning process. Each action and timeframe on the timeline should be reviewed and modified to meet Division needs.

Note: Activities occurring within the same time frame will occur simultaneously.

Action: When

Chain of Command: Before Impact
When communication is available and Division Director or designees are accessible, the chain of command is not affected. However, this is not always the case and immediate and decisive action is sometimes required to survive a service interruption. Therefore, a clear chain of command is established before a service interruption strikes. Those in the chain of command are prepared to act if called upon.

Situation Assessment: Within 3 Hours
The Continuity of Operations Team is responsible to coordinate an assessment of the situation as quickly as possible. The purpose of this assessment is to identify the scope of the event and to provide the basis for plan implementation. Specific areas that must be evaluated are the condition and availability of staff members, condition and availability of facilities and the condition of key computer and business systems.

Identify Recovery Control Location: Within 3 Hours
The Continuity of Operations Team leader will review pre-identified Recovery Control Locations and secure the most viable location through procedures and support contacts.

Initiate Call Down of Staff: Within 3 Hours
Once the Recovery Control Location has been cleared for agency occupancy, the Continuity of Operations Team leader notifies all staff of the situation and probable work assignments.

Plan Implementation: Within 3 Hours
Based on the results of the situation assessment, the Division Director or designee in command may

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authorize plan implementation. This implementation will authorize individuals on the Continuity of Operations Team to take appropriate actions to minimize the effects of the situation and maintain the highest possible level of Continuity of Operations as quickly as possible. With plan implementation, special policies will go into effect.

Public Relations Communication: Within 3 Hours
A major roadblock to survival and recovery during an event is uncertainty and indecision. The division will follow its standard operating procedures for working with the media. This will include contacting the DAS public information officer (PIO) for assistance in providing information to media personnel.

Staffing: Within 24 Hours
The effect of the service interruption on the staff and the service capability of the division will determine short-term staffing needs. A staffing plan will be developed by the division and communicated to each staff member.

Staff Emergency Operation Center (EOC): Within 48 Hours
[Lorry Herrera, Dept of Public Safety, lherrera@utah.gov, (801) 538-3740]
The Division Director or designee is responsible to coordinate an assessment of Emergency Operation Center's immediate need for ESF 7 support staff and if appropriate, staff the EOC as quickly as possible.

a. **Purchasing Agent ESF 7 Training**
   The EOC provides monthly ESF 7 EOC trainings. In the event the EOC is activated, all purchasing agents will be responsible to division management to rotate through the EOC during an event. All purchasing agents are required to be ESF 7 trained and have physical access to the state's EOC facility. To obtain an EOC access application, email Ray Thompson or Sheila Curtis (reythompson@utah.gov or smcurtis@utah.gov). Applicants will be put on the EOC call-down list where monthly opportunities to brush up on ESF 7 skills will be presented. It is recommended that agents at a minimum attend one or two EOC activities a year (Manager's approval prior to attending required). The monthly EOC training notification calls are managed by Bob Craven (rcraven@utah.gov).

Comp. Operations and Data Recovery: Within 48 Hours
[Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241]
If plan implementation includes computer system recovery, the computer and data backup plan for the division is immediately put into effect. This may include formal notification of the backup provider, acquisition of data backups, establishment of data/telephone communications, travel to the backup site, notification of third party vendors, etc.

Facilities Recovery (Temporary): Within 48 Hours
Based on the event's circumstances, operations will be moved into the Recovery Control Locations provided for in this plan. Basic supplies and forms/files will be retrieved.

Permanent Repair (Systems and Facilities): Based on Situation

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With basic functions restored in the previous actions, resources can now be devoted to repairing damaged systems and rebuilding facilities. The time and effort required will be based on the circumstances.

Long Term Staff Care and Rehabilitation: Based on Situation
Some situations may include severe trauma, including the loss of life. The long-term physical and emotional care and rehabilitation of DAS employees who have suffered losses due to the situation should be provided once the immediate crisis situation has passed.

Resumption of Normal Operations: Based on Situation
When facilities have been repaired or rebuilt and systems repaired, operations can be transferred out of temporary facilities, backup computer operations can be terminated and normal operations can be resumed.

Assessment of Continuity of Operations Plan and Modification: When Recovered
Upon the resumption of normal operations, a final report must be created for DAS. This report should be created from actual recovery logs made during the event and include areas of learned exposures and new recommendations to minimize loss in subsequent events. Abnormal costs due to service interruption should be identified for possible recovery. The Continuity of Operations Plan should then be modified to incorporate the "lessons learned" by those involved in Continuity of Operations efforts.

Continuity of Operations Actions

PHASE 1: EMERGENCY RESPONSE

This Phase should be completed within 2 to 3 hours from impact.

Employee and visitor safety is the primary criteria for evacuation of the division. All division employees must evacuate and assemble in the designated areas for their floor where a head count by the director/designee will be conducted and employee life/safety condition will be assessed. This head count should include all visitors to the building at the time of impact. Upon evacuating, the director/designee will leave the building with the visitor log-in sheet. The director/designee should secure or designate someone to secure the log prior to evacuating the building. The results will be reported to the senior DAS staff member present.
Identify any injuries to employees and visitors on site. Seek immediate medical assistance if necessary.
Determine if temporary emergency shelter is needed due to weather or other conditions.

Division COOP Support Team:

1. Chris Hughes, Director – Report status to DAS (takes 3150 first aid duffle bag)
2. Windy Aphayrath, Assistant Director – Account for 3rd floor Staff at State Office Building (takes front desk log-in binder)
3. Terri O'Toole, Assistant Director – Account for 1st floor Staff at State Office Building
4. Andy Wright, State Mail Manager – State Mail Distribution facility
5. Dan Martinez, State Surplus Manager – State Surplus Warehouse

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Take Continuity of Operations Plan during evacuation to ensure proper responses to all situations. Evacuate and take a headcount. As part of the evacuation, everyone should follow agency specific emergency response plans for specific situations (earthquake, fire, flood, weather, terrorism etc.). The division's COOP field team leader at each location will take their COOP. Determine employee status and availability.

Key Documents: Division COOP, visitor logs.
Communicate relocation decision to employees and visitors. Landline telephones, email, and cell phones will be used. If they are not working, other means including texting and social media will be tried.

The Relocation: Immediate Alternate Operating Capability & Facilities
[EMAP Requirement]
If yes, move to emergency shelter identified below:
Primary Emergency Shelter and Recovery: East Building on Capitol Hill, Arsenal Hill Conference Center, Rms. 1, 2, or 3.
Assemble initially in the cafeteria.

Note 1: As no division functions are considered critical to health and safety, as many employees as possible will be encouraged to work remotely.

If no facilities are available for relocation, the division will contact the EDO/EOC for guidance.

Determine overall effect of the immediate impact to transportation and city conditions that may affect employees and their families by contacting UDOT at 801-965-4000 and listen to the Emergency Alert System (KSL 1160 AM) to determine transportation and Salt Lake City conditions that may affect employees. The senior staff person will determine "immediate" employee work strategy.

The division's **Chain of Command/Lines of Succession (P5-3)** is as follows:

1. Director of Purchasing, Christopher Hughes
2. Assistant Director, Terri O'Toole
3. Assistant Director, Chris Jennings
4. Assistant Director, Solomon Kingston
5. Assistant Director, Windy Aphayrath
6. State Mail Manager, Andy Wright
7. State Surplus Manager, Dan Martinez

The employee replacing an absent supervisor in the lines of succession obtains the authorities of that supervisor's position and may act on the supervisor's behalf during his/her absence. The senior person available in the chain of command will make the call and communicate the decision to field team leaders. Division policy will be to release as many employees as possible to work remotely. Only employees

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necessary for the division's recovery and emergency response will be encouraged to move to the recovery site. All employees being released will be noted on the Agency Evacuation Status Log with their destination and time of departure.

(1) All employees released to work remotely will be logged with the time of departure, destination, and working contact information if available.
(2) Employees moved to the recovery facility to assist in the recovery will be logged.
(3) Visitors will be logged with their time of departure and destination.

The sum of items 1 through 3 should equal 100% accountability of employees and visitors present at evacuation. Inform employees of their immediate work assignments and emergency needs. Division policy will be to release all non-essential personnel to their homes if service interruption is severe and it has been determined that it is safe to drive home or their homes are within easy walking distance.

The following will be considered:

(1) Staff who walked or took public transportation to work.
(2) Road conditions for driving.
(3) Distance to their destination and available transportation.

All employees present at each division facility when it was evacuated will be accounted for on the Agency Evacuation Status Logs whether they are released or moved to the recovery facility.

PHASE 2: EVENT ASSESSMENT

Inventory and secure critical documents, files and other items that may have been removed by employees during evacuation. Create a specific log for the types of items necessary for their operation.

A. Distribute and Maintain Agency Continuity of Operations Recovery Logs

Distribute and maintain Continuity of Operations Recovery Logs to all personnel involved in the recovery. Use the Operations Recovery Log found in the appendix as a template for logging recovery information. This log will be required for all employees involved in the recovery operations. All actions will be logged.

B. When/If Re-Entry to division facilities is allowed, identify systems, data, and other items that are reusable and can be relocated.

Use the Undamaged Recoverable Items form located in the appendix to identify those recoverable items and their locations.

C. Assess condition of all facilities, workstations, data communications and other computer facilities. Determine extent of impact event.

The field team leaders at each location will gather information observed from all COOP team members about critical systems, communications, and facilities, and other mission critical components or processes. The General Situation Assessment form located in the appendix will be used as a guide.

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Determine extent of impact as it relates to the mainframe host and/or PC/LAN computer systems: processing status, completed or incomplete application processing, communications networks, and other facilities using the General Situation Assessment form located in the appendix.

Division systems are not critical to health and safety of the community. We would hope to have server systems back up in two weeks.

D. Technology impact

Does the estimated processing or function outage exceed the predetermined "Acceptable Outage Period" for the agency?

Yes - Go to Phase 3.

No - Coordinate team activity to restart Division functions. Await restoration of restorable division facilities and/or technology resources.

PHASE 3 - NOTIFICATION/PLAN IMPLEMENTATION PROCESS

This Phase should be completed within 3 to 12 hours and on-going from start of event.

A. Management Notifications And Command Identification

The Division Director or designee implements the Continuity of Operations Plan according to predefined Department specific criteria. See following tasks for assistance in understanding the criteria used in determining the various types of plan implementation declarations.

B. Guidelines For Implementing Emergency Policies And Standard Operating Guidelines (S.O.G.'s)

(1) What is the projected time to restore division functions without contingency activities?
(2) Does this time exceed the predetermined maximum acceptable "outage"?
(3) Will services to division customers or the public be unacceptably impacted?
(4) Who is managing outside restoration efforts and what resources are available to fix the problem?
(5) Will implementing the Continuity of Operations Plan reduce financial loss implications?
(6) Do the long-term effects (financial, loss of division functional services, loss of public or customer confidence, etc.) justify the declaration?
(7) What is the overall impact on the division, the department, or customer service?
(8) What will the various media say in their reports?
(9) Are anticipated media reports acceptable to the division and the Department?

C. Declaration Type

Based on the answers to the above and other questions that may be pertinent in the specific situation, the Division Director or Designee will need to select one of the following options:

(1) NO DECLARATION
(2) The division will await restoration of restorable buildings and services. Although an incident has occurred, the circumstances do not require special contingency activities. Recovery can best be handled within the normal management structure.
(3) DECLARATION WITHOUT COMPUTER SYSTEM RECOVERY

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(4) The division will relocate to its alternate site and restore its data processing capabilities and functions there.
(5) The situation is severe and requires implementation of the contingency plan, but mainframe or host computer systems are operational.
(6) DECLARATION WITH COMPUTER SYSTEM RECOVERY
(7) The division will relocate to its alternate site and await restoration of essential system communications and mainframe or host system processing capability.
(8) The situation is severe and mainframe or host computer services have been disrupted in addition to division's processing and functional capability. This declaration will trigger the mainframe Information Technology Backup Plans as well as the COOP.

D. Service Continuity Plan Implementation Guidelines

The following Division management authorization succession order and conditions for authorization should be followed when the Continuity of Operations Plan is to be implemented. A management authorization signature will serve as written documentation for declaring an event large enough to implement the Plan.

- Governor or Designee: Large-scale event of such magnitude that plan implementation is inevitable.
- Division Director or Designee: Large-scale event of such magnitude that plan implementation is inevitable.
- Division Director or Designee: State Office Building, Mail Distribution facility, or State Surplus warehouse and Plan implementation is inevitable.
- Deputy Director: Division Director is not available and Plan implementation is inevitable.
- Senior Staff Designee: Division Director and Assistant Directors are not available and Plan implementation is inevitable.
- COOP Team Members: Senior Staff Designee is not available and plan implementation is inevitable.
- Other Agency Personnel: Management personnel are not available and plan implementation is inevitable.

E. Implementing Emergency Policies And SOG's

Following COOP implementation, the EMERGENCY POLICIES P3-1 form located in the appendix should be used to list and identify Standard Operating Guides (SOG's) that employees will be expected to follow during the recovery process. The Plan may include detailed information regarding these policies or guidelines.

F. Emergency Powers

The Division Director or Designee will act in the best interest of customers during a service interruption. To facilitate these essential actions, senior management approves the following emergency changes to normal policies while the Continuity of Operations plan is active. These emergency powers are rescinded upon return to normal operation.

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Purchase Authority: Emergency purchasing process for executive branch state agencies can be found at UAC 63G-6a-803, UAC R33-8-401, and Purchasing Policy #17. The Division Director or Designee can authorize essential purchases to preserve the safety of staff and to protect the threatened assets of the Division. However, judgment must be exercised to ensure that the long-term effects will not outweigh the short-term benefits.
Purchasing laws and rules over which purchases must be made may be temporarily suspended during a State of Emergency when explicitly suspended within the body of either the Governor's or President's Declaration of Emergency.

Cash, personal credit or check capability: The Division Director or Designee may set up emergency purchasing capability by use of approved credit or employee personal check or credit capability in advance. The Division will guarantee and indemnify employees for all such emergency purchases.

Personnel Issues: The Division Director or Designee is authorized to take any personnel actions deemed necessary to sustain Division operations. This includes hiring of staff, disciplinary action, or termination. All actions must be taken in compliance with applicable employment law. This authority is also contingent on the approval of the DAS Executive Director or Designee according to the DAS COOP Plan.

Contractual Authority: In the event the Division Director or Designee is not available to act in this capacity, the next in normal Division management succession is temporarily authorized to execute essential contracts. This temporary approval is conditional upon the approval of the Division of Purchasing director. When emergency conditions justify, the normal bid process is not required and the most important criteria is "performance." However, to ensure that the costs are not excessive, the Director or Designee must exercise caution and afterwards justify the award.

Meeting Customer Needs: Third in priority is to meet the needs of those customers and those agencies that rely on the Division's services. Once human safety concerns and the agency's long term survival is ensured, the Division should do whatever it can to meet the needs of those relying on its services. For an internal service interruption such as a fire, this may mean applying all available resources to quickly restore vital services. In a larger regional service interruption such as an earthquake or tornado, this may mean providing purchasing/contracting assistance.

Prudence: In all actions during a service interruption, the Division Director or Designee, the Continuity of Operations Team, the staff, and volunteers must act with prudence. Every effort should be made to understand the long-term ramifications of decisions. Individual needs must be balanced with the needs of the organization and its staff and the need to provide services.

1. Ensure formal Division management continuity exists. The Division Director will establish formal, temporary management replacements for those managers who are unavailable.
2. Establish employee contact trees and log employee contacts and status. Have employees travel to other employees' homes if normal communication paths are unavailable. *Note: Personal Contact is provided voluntarily by employees. Currently Terri O'Toole maintains this confidential list.*

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3. Notify employees of current status according to the Employee Notification List. Follow-up with other agencies.
4. Establish ongoing "critical customer and agency" contacts using list. Notify customers and others relying on agency functions of current status according to the Critical Customer and Agency Notification List.
5. Maintain ongoing communication regarding restoring functional capabilities and timeframes.
6. Ensure that State and Department PIO's are kept informed of ongoing status.

PHASE 4: COMMUNICATIONS RESOURCES

This Phase should be completed within 4 to 12 hours of impact.

Purpose: This phase outlines the preparations the Division will take in preparing for the actual recovery efforts, but before the actual recovery process begins. These steps are taken after a plan implementation declaration has been made.

A. Select And Acquire Health & Safety Officer (HSO) Recovery Control Locations

For purposes of this plan, a Recovery Control Location will be identified as a position that is located safely and yet in close proximity to damaged facilities or areas. The Recovery Control Location is where Division Management, Continuity of Operations Team, other recovery team members, and other Plan implementation decision makers can come together and coordinate recovery activities. The Recovery Control Location may be in another office, building, or complex, but must have communication capabilities.

Note: The Primary Recovery Control Location for Division of Purchasing is the Utah State Surplus warehouse. The secondary recovery control location is the State Mail Distribution facility.

1. When moving to the Recovery Control Location, there should be a separate area in the Recovery Control Location where Division management can meet to discuss ongoing conditions and make decisions. *Note: The large room in the State Surplus warehouse will initially be used as the Purchasing Recovery Control Location.*
2. Request the pre-designated Recovery Control Location site from the State Facilities Coordinator in Nick Radulovich's office at 801-538-3258. Management will contact the Department of Technology Services (DTS) for the use of a pre-designated Recovery Control Location site. A list of pre-designated sites can be found in the appendix.
3. Perform automatic Recovery Control Location setup procedures. Use the Recovery Control Location Minimum Requirements form and pass requirements and information through State Purchasing.

B. Organize And Activate Continuity Of Operations Teams By Health And Safety Officer (HSO) Function.

PURPOSE: The Continuity of Operations Teams have been assigned and will be responsible for developing and implementing procedures that would allow the Division to begin recovery efforts

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following an interruption of critical agency functions. They will also be responsible for reacting to unforeseen events. See Continuity of Operations Team Members.

1. Each Continuity Team Leader assigns additional staff as needed to assist in their specific recovery responsibilities.
2. Refer to Continuity of Operations Team Members in Appendix G-1. Determine assigned team member availability from the employee notification and status lists. Identify any employee with personal problems restricting heavy continuity work schedules.
3. If needed, access the overall Division personnel plan with employee skill levels identified. See Employee Skills List found in the appendix.
4. Organize and assign additional staff as needed to assist in the Critical Function recovery process.
5. If service interruption spans multiple agencies, Continuity of Operations Team Leaders will periodically coordinate their assignments and responsibilities with other Department Continuity of Operations Team Leaders and provide ongoing status reports.
6. Within the Division, hold team meetings for Division management and other Continuity of Operations Team Members as needed.
7. An authorized individual will notify the off-site storage location and retrieve all necessary vital records according to pre-arranged list for critical functions. Arrange pickup and delivery details with the off-site storage location. This is arranged through DTS.
8. Identify transportation needs to support Continuity of Operations Team activities.

C. Prepare the Division for Emergency Relocation

PURPOSE: The following steps will be taken to temporarily relocate the Division to designated Emergency Relocation Site and prepare for the restoration of critical agency functions. The first items below outline general responsibilities, the next items document steps in completion. The Continuity of Operations Team Leader will be responsible for facilitating and coordinating the relocation of essential agency functions to the Emergency Relocation Site. Agency Recovery Logs must be maintained and used to gather accurate data for ongoing reporting.

1. If the Division is relocated to and co-opts another agency's permanent space or shares space with another agency, ensure resident agency functions presently occupying the site are relocated to other facilities. *Note: This will not be necessary at the Primary Relocation site.*
2. Order, acquire, deliver and install all essential office supplies identified in the appendix, Emergency Relocation Site Minimum Requirements, to the Emergency Relocation Site where recovery activities take place.
3. Contact DTS to install all necessary communications lines and workstations for critical work at the relocation site. The 24 hour phone number is 801.538.3440 (DTS Technical Support).
4. Move into the Emergency Relocation Site and install whiteboards, desks, tables, etc., according to previously approved layout diagram. Note: Layout diagrams are in process.
5. Ensure voice and data communication channels are available to State Emergency Operation Center and coordinate with other agencies as necessary. Pass along Division recovery phone numbers by whatever communications are possible to other State agencies.
6. Test all circuits and workstations before starting production work. Use benchmarked functions with test data and strategy to verify correct operation. Repair or correct problems before going

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into live production status.

PHASE 5: CONTINUITY OF OPERATIONS PREPARATIONS

This Phase should be completed within 12 to 72 hours of the event.

[Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241]

The Department of Technology Services (DTS) will provide both data and the means of delivery of information to support decision-making during routine Division operations, during the planning, response and recovery phases of emergency operations, and during other unexpected interruptions. The primary functions of DTS is as follows:

1. Manage hardware and software resources.
2. Maintain inventories of all Division fixed IT assets.
3. Provide automation advisory and trouble-shooting services to Division employees.
4. Coordinate information systems with local, state, and federal agencies.

DTS accomplishes these primary functions through the use of three automated platforms. The three automated platforms utilized by DTS are:

1. CSEPP: This system is run on a SUN Microsystems E450 processor running the Solaris operating system. Windows 2000 client Pentium PCs are connected to the Sun E450 via 100Base T Ethernet. There is no server software. The Sun E450 is connected to the State-Wide-Area-Network (S-WAN) through a CISCO router. The SUN E450 is also connected to a CSEPP Wide-Area-Network (C-WAN) via another CISCO router. The C-WAN uses dedicated microwave circuitry. The main CSEPP Computer Support System resides in the Emergency Operations Center (EOC) in the State Office Building. A secondary SUN1000e server resides at the Alternate EOC on Camp Williams.
2. Office LAN: This system consists of an applications server running NetWare software and connecting PCs, printers, and other devices supporting office productivity applications. The COMPAQ B1500 server is connected to the other devices over a 100Base T Ethernet LAN. It is also connected to the CSEPP Server and the S-WAN. PCs on the LAN have access to the S-WAN, Group Wise email, and the Internet. A secondary Novell server resides at the Alternate EOC at Camp Williams and a third at Homeland Security.
3. ETEAM: This is the Incident Tracking System that was used during the 2002 Olympics and Paralympics. It is currently administered by SAIC. It is a browser-based system with servers located at Homeland Security (HLS) Division and Camp Williams. Restoration of information technology services is a prerequisite for continuity in the provision of critical functions. It assumes the information technology group has the resources to provide for agency processing of critical applications within predefined periods of "acceptable outage".

NOTE: Existing plans for Computer System Recovery, Network Recovery, Security Systems Recovery, and Communications Recovery will be utilized. These recovery plans must commence in conjunction with Facilities and Critical Function Recovery Procedures detailed below.

1. Establish accountability and safety guidelines for everyone involved in the Information Systems recovery process.

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2. Ensure Uninterruptible Power Supply (UPS) for designated recovery facility is functional.
3. Ensure that appropriate fire suppression equipment is present in the areas where automation equipment is present or will be relocated.
4. Take actions to protect life and minimize property damage.
5. Contact DTS to act in support of the recovery process. Identify and provide support as needed to ensure that actions/plans are completed within 48 hours.
6. Assist Continuity of Operations Teams in conducting an in depth investigation to determine the extent of the interruption (Appendix G-1). The Management Plan for restart, repair or relocation of DTS systems should consider the following:
    i. Compile a Continuity of Operations Recovery Log. (Appendix P2-1)
    ii. Utilize the Continuity of Operations Recovery Log to coordinate activities of the Continuity of Operations Teams.
    iii. Can Division critical functions continue from the current facility?
    iv. Has access to the facility or area been restricted?
    v. Are backup systems for the Division functioning?
    vi. Will back-up systems sustain prolonged operations?
    vii. Is the alternate facility available and ready for operations?
    viii. If necessary, the Department will notify DTS to initiate repairs.
    ix. If necessary, DTS will enlist the help of subcontractors to assist in the recovery of databases and administrative files.
    x. If the Local-Area-Network (LAN) has incurred damage, DTS will enlist the services needed to re-establish the LAN.
7. Level I, Level II or Level III Interruption will be determined based on an assessment report of the Continuity of Operations Team.
8. Based on the level of interruption, management will establish a plan for restart, repair or relocation.
9. Determine a starting point for Information Systems recovery.
10. Assist Management in the development of action plans and work schedules that will ensure the continuation of critical agency functions. The action plans and work schedules for Continuity of Operations should be communicated to the EOC.
11. Determine the availability of employees needed for the recovery process and ensure that family and employee personal needs are considered. Notify and mobilize staff members as needed to continue and support critical functions.
12. Release all other employees to their homes or the Emergency Relocation Site if their services are needed, but not until then. (Too many people in the recovery area may cause confusion that will impede the processing of critical functions).
13. Once assignments have been completed at the Emergency Relocation Site, GO TO Critical Function Recovery Procedures.
14. Regular status reports should be provided to the EOC.
15. Other items the agency deems necessary.

B. Facilities Recovery Procedures.

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This section deals with the restoration of Division building facilities required for the performance of recovery functions within pre-defined periods of "acceptable outage".

Priority I (Critical) Facilities: For purposes of this Plan, the Priority I (Critical) Facility will be the Utah State Surplus Property building, the primary recovery facility.

Priority II (Essential) Facilities: For purposes of this Plan, there are no Priority II (Essential) Facilities. The following recovery procedures may be considered when the Priority I (Critical) Facility has been affected by an emergency interruption:

1. Division Management and Continuity of Operations Teams develop action plans and work schedules for facilities recovery and communicates this information to the EOC.
2. Notify and mobilize essential employees to start and support facilities recovery. Ensure employee needs are considered and that they are available for the recovery process.
3. Within one to two hours, DAS and Division Management will confirm the Facility Recovery Control Location (State Surplus).
    a. Confirm the Facility Recovery Control Location as the State Surplus.
    b. Confirm the Facility Recovery Control Location has communication capabilities.
4. Continuity of Operations Teams will be assigned as needed.
5. Determine a starting point for recovery.
6. Compile a Continuity of Operations Recovery Log.
7. Utilize the Continuity of Operations Recovery Log to coordinate activities of the Continuity of Operations Team.
8. Initiate procedures to protect life and minimize property damage.
9. Establish accountability and safety guidelines for everyone involved in the facility's recovery process.
10. Determine the need for additional professional help or assistance.
11. Determine need for additional equipment or supplies.
12. The Continuity of Operations Team (field team leaders) will complete in depth assessment of damaged facilities and equipment.
13. Level I, Level II, or Level III Interruption will be determined based on assessment report of the Continuity of Operations Team.
14. Based on the level of interruption, management will establish a plan for restart, repair, or relocation.
15. The Management Plan for restart, repair or relocation of a facility should consider the following:
    a. Can critical division functions be continued from the current facilities?
    b. Has access to the facility or area been restricted?
    c. Are backup systems for the facility functioning? (generators, communication equipment, heating systems, cooling systems, plumbing systems, etc.)
    d. Will the backup systems sustain prolonged operations?
    e. Can employee comfort /work needs be met in the evaluated facility?
    f. Is Risk Management involvement required?
    g. Are Department of Facilities Construction and Maintenance procedures for purchasing

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and repair being followed?

h. Is an alternate facility available and ready for operations?
i. Have arrangements for transportation of personnel and equipment to the alternate facility been made?
j. Will security for the current facility or the alternate facility be necessary?

16. Release all non-COOP team employees to their homes if possible. They will be instructed to work at the recovery location if their services are needed, but not until then. (Too many people in the alternate location may cause confusion that can impede the recovery process).
17. Other continuity activities as agency deems necessary, including security and access control issues, safety and inhabitability concerns, and repairing or rebuilding.
18. Regular status reports should be made to the EOC and other senior state and federal governmental officials as directed by the EOC.

C. Critical Function Recovery Procedures

For purposes of this Plan, Division functions will be classified as Priority I (Critical), Priority II (Essential), and Priority III (Non-Essential). Priority I, or Critical Functions are those functions that are essential to the immediate support of the Division's primary mission. Priority II or Essential Functions, are those Division functions that are not essential to the immediate support of the Division's primary mission. Priority III or Non-Essential Functions will not be addressed in this Plan.

Priority I (Critical) Functions for the Department are identified as follows:

A. None

Priority II (Essential) Functions for the Division are identified as follows:

A. Department Administrative Functions

The following steps should be considered in the Critical Function Recovery Process:
Note: Initial COOP recovery procedures will (phases 1 through 7) stress employees involved.

1. Assist Management in identification of a Recovery Control Location that is in a safe location.
2. Within one to four hours, provide necessary support to the Continuity of Operations Team as needed.
3. With the assistance of management, determine a starting point for recovery.
4. Compile a Continuity of Operations Recovery Log.
5. Utilize the Continuity of Operations Recovery Log to coordinate activities of the Continuity of Operations Team.
6. Initiate procedures to protect life and minimize property damage.
7. Establish accountability and safety guidelines for everyone involved in the recovery process.
8. Determine the need for additional professional help or assistance.
9. Determine the need for additional recovery equipment or supplies.
10. Provide Continuity of Operations Team assistance with the in depth assessment of damage in order to determine effects on operational capabilities.

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11. After completion of in depth assessment, determine what level of interruption can be expected.
12. Based on the level of interruption, establish a plan for restart, repair, or relocation.
13. Initiate an emergency call-down of selected staff members and members of the Division Continuity of Operations Team and make assignments as needed.
14. Assist with the dissemination of public information through the PIO.
15. Coordinate recovery procedures with Information Resource Management personnel to insure data and information technology needs are met.
16. Ensure notification to Division Director and Continuity of Operations team members and initiate Situation Report procedures.
17. The Management Plan for restart, repair, or relocation of Operations should consider the following:
    a. Can critical operations functions be continued from the current Division locations?
    b. Can employee comfort and work needs be met in the current locations?
    c. Have arrangements for transportation of personnel and equipment to the alternate location been made?
    d. Will Security for the current or alternate location be necessary?

PHASE 6: PUBLIC INFORMATION

[Marilee Richins, EDO, mprichins@utah.gov (385) 315-1290]

Timeline: *Should be continuous throughout the process as deemed necessary by Continuity of Operations Team Leader.*

Purpose: *This phase addresses information dissemination to the media, other agencies and the public during the recovery process. Additional information and guidelines can be found in the Appendix as indicated.*

A. Addresses information dissemination to the media, other agencies and the public

1. Prior to any service interruption, gather Emergency Employee Information, for each employee. Division Director/assignee maintains a voluntary list to use for notification purposes and medical treatment if necessary.
2. Prior to any service interruption Key Media Contacts should be established and documented. Note: The DAS PIO will be operating from the Joint Information Center (JIC) and should have that information. The JIC is a physical location where spokespersons from agencies participating in response and recovery efforts can work together to coordinate information and ensure the public receives clear, accurate, and coordinated messages. Typically the JIC will be located at or near the location of the incident or at the Emergency Operations Center (EOC). News releases should be channeled through the JIC in order to ensure that information remains consistent for all affected agencies.
    a. In the event the DAS PIO is unavailable, a backup DAS PIO, the Governor's Office PIO, or other Utah Department PIOs will be asked to serve as a backup. During large scale disasters, qualified officers or members of the Utah PIO Association may support these efforts if needed. During large scale disasters, the DAS PIO or backups will communicate

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emergency public messaging and participate in Joint System/ Joint Information Center operations.

3. Prior to any service interruption, create and maintain an Emergency Telephone List, including all numbers necessary for the agency. The listing in appendix is meant as a guide and is not necessarily all- inclusive.
4. During the course of the service interruption the Media Inquiry Log, should be kept up to date by Division Continuity of Operations Team Member with that assignment. *Note: Media inquiries made directly to the division should be logged. Media must be directed to the PIO for responses to all inquiries.*
5. The DAS PIO, as part of JIC operations should communicate agency status and information to media and others on an ongoing basis through news release or other means as appropriate.
6. Follow public information policies as provided in the State EOP if the service interruption is large scale or widespread in nature.
7. Other Continuity Activities as the Division and DAS deem necessary regarding Public Information.

B. Develop a comprehensive final or "Situation Report" for DAS

1. After the emergency conditions are satisfactorily managed and conditions return to normal, the service interruption declaration should be rescinded with all state agencies.
2. The Director prepares a final complete report of service interruption, recovery events and overall effects.
    a. Document the cause of the service interruption and the final effects on division operations
    b. Collect final recovery logs from all employees. Use information about major events in recovery from recovery logs, etc. in preparing the final report.
    c. Document effects to daily operations.
    d. Identify preventive measures initiated against future interruptions (if any are needed).
    e. Identify and document costs.
3. Sign, copy and deliver final report as directed.

PHASE 7: FINAL REPORT ACTIVITY

PURPOSE: After the Division emergency situation is completed and return to normal conditions exist; the Division Director must develop a comprehensive final or "Situation Report" for DAS and the Department of Public Safety.

1. After the emergency conditions are satisfactorily managed and conditions return to normal, the service interruption declaration should be rescinded with all state agencies.
2. The Director prepares a final complete report of service interruption, recovery events and overall effects.
    a. Document the cause of the service interruption and the final effects on division operations.
    b. Collect final recovery logs from all employees. Use information about major events in recovery from recovery logs, etc. in preparing the final report.
    c. Document effects to daily operations.

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d. Identify preventive measures initiated against future interruptions (if any are needed).
e. Identify and document costs.

3. Sign, copy and deliver final report as directed by DAS.

Staff Directory

Report Description: This report lists the phone numbers and email addresses for each person assigned to this plan organized by person name.

NAME	TITLE	PHONE	EMAIL
Christopher Hughes	Director & Chief Procurement Officer	801-538-3254	christopherhughes@utah.gov
STATE PURCHASING			
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Amy Gerrard	Contract Analyst	801-538-3146	agerrard@utah.gov
Angela Carlisle	Contract Analyst	801-538-3524	acarlisle@utah.gov
Ann Schliep	Purchasing Agent	801-538-3421	aschliep@utah.gov
Blake Porter	Contract Analyst	801-538-3232	btporter@utah.gov
Cassidee Feinauer	Contract Analyst	801-538-3307	cassideefeinauer@utah.gov
Chad Hinds	Purchasing Agent	801-538-1287	chinds@utah.gov
Cherilyn Hess	Purchasing Agent	801-538-3709	chess@utah.gov
Chike Ogbuehi	Contract Analyst	801-538-3151	cogbuehi@utah.gov
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Cody Garcia	Contract Analyst	801-538-3150	cjgarcia@utah.gov

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Jeff Hammer	Purchasing Agent	801-538-3159	jhammer@utah.gov
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Kaitee Hall	Purchasing Agent	801-538-3142	kaiteehall@utah.gov
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Nikki Sanchez	Purchasing Agent	801-538-3342	nsanchez@utah.gov
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STATE MAIL AND DISTRIBUTION SERVICES

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Grant Beckler	Accounting	801-323-4301	gbeckler@utah.gov
Jeremy Bateman	Fleet Service/Mail Tracking Services	801-323-4312	jpbateman@utah.gov
Pamela Kelley	Front Desk/Accounting	801-323-4300	pkelley@utah.gov
Brian Davis	General Services Specialist - A.M.	801-323-4307	bjdavis@utah.gov
Patty Wilson	General Services Specialist - P.M.	801-323-4307	pmwilson@utah.gov
Mike Beckstead	General Services Specialist	801-323-4311	mwbeckstead@utah.gov
Joel Davidson	Mail Design Analyst	801-323-4302	joeldavidson@utah.gov
Katja Hadzialijagic	Inkjet Operator	801-323-4308	khadzialijagic@utah.gov

PRINT SERVICES

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Heather Stevens	Purchasing Agent	801-323-4325	hstevens@utah.gov
Sally Aguirri	Site Coordinator	801-538-8631	statecopycenter@utah.gov
Darrelette Middleton	Lead Production	801-538-8631	statecopycenter@utah.gov
Landon Ward	Production	801-538-8631	statecopycenter@utah.gov
Michael Molen	Courier Service	801-538-8631	statecopycenter@utah.gov

SURPLUS PROPERTY

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Gustavo Cansino	Surplus Property Specialist	801-619-7212	gcansino@utah.gov
Katie Hardy	Surplus Property Support Staff	801-619-7211	katiehardy@utah.gov
BJ Kemp	Surplus Property Support Staff	801-619-7213	bkemp@utah.gov

Revised 01-29-2018

There are no Vendor Reps assigned to this plan

Emergency Notification List (Calling Tree)

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

Non-business Hours Urgent Information Communication to Staff Members
In situations where management wishes to deliver urgent information to and for communication among staff members outside of normal business hours (i.e., active shooter, bomb threat, evacuation, fire, hazardous materials on campus, lockdown, etc), the director will contact assistant directors and managers to activate the Employee Notification List. In turn, the assistant directors and managers will contact those assigned to them and report back to the director. Assistant directors should have phone numbers for all part-time, contract, and seasonal employees. When necessary, director and/or admin staff will call Security and/or DFCM.
Capitol Security – (801) 538-1111
DFCM – (801) 238-7903

1. **Employee Notification List**

   [Terri O'Toole, totoole@utah.gov, (801) 538-3147]
   Terri O'Toole maintains a list of all employees who voluntarily provide their personal cell phone, home phone numbers, personal email, and
   employee-medical-information-as-part-of-emergency-evacuation that employees feel pertinent to share in regards to their welfare in an emergency situation.
   Jon Gardner, DHRM, jongardner@utah.gov, (801) 538-3248, also maintains an employee database of personal points of contact.
   Note: As part of the State's emergency management plan, personal telephone numbers and email

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addresses were pulled from the HR database to create a phone tree/contact list. However in 12/2016 the State ended its relationship with Sungard LDRPS and this service was discontinued.

Major Disaster Call-in Protocol
[Terri O'Toole, totoole@utah.gov, (801) 538-3147]
All division staff are required to report to their manager within 3hrs of a major disaster event (i.e., earthquake, regional disaster, etc.) and to continue calling in at a minimum of every 12 hours until instructed otherwise by your manager.

1. Employees will ensure their safety and the safety of their immediate family.
2. If employee and his/her immediate family are safe, the employee will report for duty.
3. All staff are expected to monitor the **Emergency Alert System and KSL Radio 1160 AM, WebEOC (https://veocutah.webeocasp.com), https://dhrm.utah.gov/gateway as well as www.emergencyinfoutah.com if accessible for news, information and EOC activation**. If needed, staff may use all and any communications method available, such as email (purchasingsolicitations@utah.gov), text and social media to contact their manager and/or their supervisor to let them know their status.
4. Report to your manager within 3hrs of a major disaster event and to continue calling in at a minimum of every 12 hours until instructed otherwise by your manager. If during a call-in event, you are unable to speak to your manager, report to Terri O'Toole, Deputy Director, 801-599-0650. If reporting via text, provide your name, availability status, how you can be reached, and if the situation warrants, your estimated time of arrival.
    a. Management will make ESF 7 Logistics support assignments for the EOC.
5. **Phone lines jammed?** Often out-of-state calls will go through when in-state lines are overburdened. The division's out-of-state point of contact to report for duty is:
    a. Shannon Berry, NVP Cooperative Development Coordinator, Carson City, Nevada, cell number 775-720-3404. Share your name, availability status, how you can be reached, and if the situation warrants, your estimated time of arrival.

Be Prepared To Work From Home Or At A Remote Job Site
Purchasing staff are expected to be prepared to work unexpectedly away from the office and to be well practiced at VPN'ing into the F-drive from the computer most likely to be used in a worst case scenario such as the State Office Building collapsing in the middle of the night.

COOP Employee Skill Sets

Below is a list of employees that are trained/certified in first aid, CPR, AED, CERT certified, etc.

Staff	Title	Phone	Email	Skill

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Garret Johnston	Purchasing Agent	801-538-3216	gkjohnston@utah.gov	CERT Certified

Critical Customer And Agency Notification List

The success of the division depends upon support to internal organizations, other agencies, critical contractors, and the public. At the discretion of the division director, instruction to purchasing personnel maybe to contact any of it customers deemed critical at the time.

Recovery Locations

[Priscilla Anderson, DFCM, phanderson@utah.gov, (801) 538-9595]
[Andy Wright, State Mail, awright@utah.gov, (801) 323-4305]
[Dan Martinez, Surplus Property, danmartinez@utah.gov, (801) 619-7200 Cell (801) 448-4450]
After a disaster, a rapid assessment of capitol hill buildings will be conducted by building employees. If necessary, a more thorough assessment by the Department of Facilities Construction and Maintenance (DFCM) will also be conducted. Essential functions that are performed in a building that has been deemed unfit to enter will be temporarily housed in another facility. Non-essential functions will be placed on hold until additional facilities and functionality can be restored. Using information from the assessment(s), and a knowledge of the prioritized essential functions, division management will determine which essential functions will be housed in the following recovery locations:

Utah State Surplus Property
447 West 13775 South
Draper, UT 84020 (801) 619-7219
This is our first location to consider in an emergency. If there is also damage to this building, we will go to the second location, which is has less available space. State Mail is planned as second location if it is determined that after the event the condition of State Surplus is not an option.

There is sufficient space at the Surplus Property building to create temporary offices for a few Purchasing employees. It also has space for storing recovered paper files. The building is shared with Fleet Services.

The building has:

(1) A server room with racks
(2) Available warehouse space
(3) A breakroom
(4) Key card entry

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Secondary Location: According to DFCM, of the the Utah State Mail building has the greatest survivability. It is a one-story structure, and the building code at the time of its construction included earthquake survivability measures. The building is on the same campus as the Tax Commission, and the Departments of Environmental Quality and Human Services. It is part of DTS campus B and is on the OC3 fiber ring. The building which houses the State Mail is shared by the Division of Blind and Visually Impaired (Suite B) and State Library. It is also proximate to I-215, North Temple, I-80, and Redwood Road and is close to the Salt Lake International Airport. However space is limited to just a couple of Purchasing personnel.

In the event that no Capitol Hill buildings are fit to be occupied, or additional facilities are required to perform essential functions, the Department of Facilities Construction and Maintenance (DFCM) will immediately be notified and consulted for use of an alternate facility. Scott Whitney, DFCM, sbwhitney@utah.gov, (801) 538-3303.

RECOVERY CONTROL LOCATION MINIMUM REQUIREMENTS FORM
[Priscilla Anderson, DFCM, phanderson@utah.gov, (801) 538-9595]

Must Attach Listing of Agency Critical Functions in Order of Priority (Provide Information to Division of Facilities Management).

REQUESTER	Requester Name:	Requester Title:	Phone(s):
AGENCY	Agency Name: Recovery Priority According to Agency Mission (within____hours)	Current Address: Size of Facility & Number of Staff Planned For:	MOU Already In Place? Power Requirements:
SPACE NEEDS	Communication Requirements:	Telephone Requirements:	Security Requirements:
	Other Requirements & Comments:		

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FACILITY ANALYSIS FORM

[Priscilla Anderson, DFCM, phanderson@utah.gov, (801) 538-9595]

(PROVIDE INFORMATION TO DEPARTMENT OF FACILITIES MANAGEMENT)

(Use in Conjunction with Recovery Control Location Decisions)

Name/Type	***Function***	***Recovery Priority***
Address		

Phone	***Fax***	***Size***	***Staffing***

Assistance Requested from Department of Facilities Management
Security Requirements/System

Power Requirements	***Communication Requirements***	***Telephone Requirements***

Other Requirements & Comments
Value As An Alternate Facility
Shutdown Procedures
Evacuation Instructions

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Vital Files, Records, Databases & Software

PRIORITIZATION AND IDENTIFICATION OF APPLICATIONS AND RECORDS

PRIORITY	VITAL RECORDS
I	Statewide Cooperative Contracts
I	COOP Plan for Division of Purchasing
II	State Emergency Response Team contact list (Terri O'Toole maintains)
II	Chris Hughes Backup Drive of Division records
PRIORITY	**VITAL SOFTWARE APPLICATIONS**
I	FINET
I	MS-Office Suite
I	Email/Google Drive Access
I	https://solutions.sciquest.com/apps/Router/Login?OrgName=StateOfUtah&URL=
II	Network Drive
II	Adobe Acrobat Pro

CYBER INCIDENT RESPONSE PLAN

[Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241]

Terrorists, foreign governments and cyber-criminals are becoming increasingly savvy and possess sophisticated IT exploit tool kits. A cyber-attack can occur without notice and can be carried out without any obvious symptoms. Malware can be injected into state IT systems from any part of the world and hackers can use infected employee workstations to carry out attacks inside state networks and firewalls.

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SMALL-SCALE ATTACKS

Some of the common signs of a localized or small-scale cyber-attack are:

1. Unexplained data loss or corruption
2. Loss of input controls [erratic mouse/keystrokes]
3. Cryptographic ransomware notifications
4. Unexplained system lockout
5. Workstation, network or server performance problems
6. Cyber-vandalism; defaced websites
7. Notifications and warnings of infection from state-issued anti-malware software
8. Non-public State data appearing on non-state webpages

If an employee suspects a small-scale cyber-attack they should **DO** the following:

1. Attempt to log-out of any active web sessions and lock any encrypted devices that are attached to the machine.
2. Unplug the network cable and/or turn off the WI-FI on your workstation; leave the power on.
3. Immediately contact the DTS Help Desk and file a high-priority ticket.
    a. 801-538-5770 for Campus A Help Desk
    b. 801-583-3440 for Capitol Help Desk
4. Notify direct supervisor who will proceed to notify the following:
    a. Division director or if unavailable a assistant director
    b. DTS or DAS security managers
        i. Benjamin Mehr, DTS Campus IT Security Manager, 801 884-9014
        ii. Tracy Pitkin, DAS Information Security Manager, 801-538-3270
5. DTS will initiate cyber response procedures and work with the agency to restore lost systems and data from recent backups.
6. Division and/or DTS should contact any applicable contractors that will be needed to assist in recovery.

If an employee suspects a small-scale cyber-attack they **SHOULD NOT DO** any of the following:

1. Ignore your instincts.
2. Forward potentially-infected email/files to your boss or coworkers.
3. Continue working on the infected system until it has been checked, wiped and/or cleared by DTS.
4. Cross-contaminate: Don't connect any external drives or devices to the infected system.
5. Copy any files and folders from the infected device to the network drives or Google Drive.
6. Attempt to export any files from the infected system via email or external media.

LARGE-SCALE ATTACKS

A more widespread and catastrophic cyber-attack can affect the power grid, telecommunications, internet connectivity, transportation, public works and more. During such an event, it is very unlikely that DAS will be able to continue serving the public until power and networks are restored.

If a large-scale cyber-attack results in a total and prolonged blackout of power and/or communications:

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1. Follow the Evacuation Procedure.
2. Make sure all employees are accounted for.
3. Notify campus DFCM personnel and DAS executive leadership that the evacuation is complete.
    a. This will likely require physically locating such personnel.
    b. This may include the use of 2-way radios if the Department or Division has them available.
4. Once accounted for and recorded, release employees to be with their families when it is safe to leave the premises.

COMMUNICATIONS

Radios
Should radios be available, directors and assigned evacuation leaders should use the provided 2-way radios to communicate during an evacuation. The primary channel will be 1-A, and all radios should remain on this channel by default. In the event that there is too much disturbance on the primary channel, the secondary will be 2-A and the tertiary will be 3-A.

Text Messages
[Marilee Richins, EDO, mprichins@utah.gov (385) 315-1290]
If mass communications are down, DAS Directors will attempt to use text messages at least twice per day [once in the morning and once in the afternoon] to communicate with one another and their critical staff until normal cellular network function is restored.

Web: Social Media
[Marilee Richins, EDO, mprichins@utah.gov (385) 315-1290]
DAS PIO will also attempt to reach the department Twitter account twice per day [once in the morning and once in the afternoon] until internet access is restored. Once power and/or communications are restored, the DAS chain of command should initiate the COOP plan. If/when the internet is restored, the agency Twitter account and the agency website will be the primary sources of DAS information for the public and for remote employees.

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Evacuation Status Log - Division Employees In Plans

Division of Purchasing's sign-in log at the front desk will be used account for all individuals conducting business with the division at the State Office Building. The following may be used if the log book is unavailable.

EMPLOYEE/VISITOR NAME	ACCT'D. FOR (PREMISES/LEFT)	TIME	NOTES/AVAILABILITY

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Appendix

G-1 FUNCTIONAL ROLES AND RESPONSIBILITIES - CONTINUITY OF OPERATIONS TEAM [EMAP Requirement]

Functional Roles and Responsibilities define the primary functions of Division of Purchasing's essential functions and the responsibilities to internal and external agencies, organizations, departments and positions.

Division Leadership

- Roles:
  - o Locate staff
  - o Determine condition of staff
  - o Provide safe location for staff
  - o Determine condition of work space
  - o Allow staff to contact families
  - o Coordinate staff technology needs
  - o Communicate needs and resources

- Responsibilities to:
  - o Department Director
  - o Division Director, Assistant Directors, DFCM, DTS, Payroll, DHR, Emergency Operations Center ESF7

Continuity of Operations Team Members (i.e., State Mail and State Surplus managers)

- Roles:
  - o Locate staff
  - o Determine condition of staff
  - o Provide safe location for staff
  - o Determine condition of work space
  - o Allow staff to contact families
  - o Coordinate staff technology needs
  - o Communicate needs and resources

- Responsibilities to:
  - o Division Director
  - o Assistant Division Directors, DFCM, DTS, Payroll, DHR

Purchasing Staff

- Roles:
  - o Provide purchasing support to executive agencies
  - o Provide ESF7 support to Emergency Operation Center

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- Responsibilities:
    - o Division Director
    - o Deputy Directors
    - o Emergency Operations Center ESF7

We have identified these as absolutely critical functions which the Division relies on supporting agencies to perform:
Payroll – OHRM Time
Time Entry – can be tracked manually in paper format – ESS PAPER TIMESHEET appendix
DTS COOP response Summary – https://dts.utah.gov/wp-content/uploads/2016-DTS-COOP-Plan-v5.pdf

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G-2 KEY AGENCY FUNCTION ANALYSIS

Function I: Purchasing/ contract oversight; State Mail and Distribution Services; Print Services; Surplus Property Program.	***Service*** Internal	***Recovery Priority:*** III
Description Provides purchasing and contract oversight for all State Cooperative and agency contracts, and General Services which consists of State Mail and Distribution Services, Print Services and the Surplus Property Program.		***Recovery Magnitude:*** III
Department Administrative Services, Division of Purchasing & General Services	***Responsible Employee*** Division Director Others by Order of Succession or Delegations of Authority	

REQUIREMENTS
Staffing Management will staff as appropriate.
Technology Systems Supported and maintained by DTS. (Google Drive, Telephone, Internet connection,etc.)
Facilities Fixed or alternate locations as required. (Any location with phone and internet.)
Forms, Equipment, Supplies State cooperative contracts, purchasing forms and templates, laptops, printer/copier, paper. (see P-4-3)

THIRD PARTIES INVOLVED				
Vendor Name SciQuest [VC0000184539]			***Contact*** Ashlee Hartman	
Address 6501 Weston Parkway Ste 200			***Work Phone*** (919) 659-2118	***Cell Phone***
City Cary	***State*** NC	***Zip*** 27513	***Pager***	***E-Mail*** AHartman@sciquest.com
Comments 3rd party online bidding software.				

Vendor Name			***Contact***	
Address			***Work Phone***	***Cell Phone***
City	***State***	***Zip***	***Pager***	***E-Mail***
Comments				

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G-3 KEY AGENCY FUNCTION PRIORITY LIST / ESSENTIAL POSITIONS AND FUNCTIONS

[Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241; Priscilla Anderson, DFCM, phanderson@utah.gov, (801) 538-9595; Marilee Richins, EDO, mprichins@utah.gov (385) 315-1290; Jerry Gearheart, Finance, jgearheart@utah.gov, (801) 538-1023; Jon Gardner, DHRM, jongardner@utah.gov, (801) 538-3248; Lorry Herrera, Dept of Public Safety, lherrera@utah.gov, (801) 538-3740]

PRIORITY	ESSENTIAL POSITIONS	ESSENTIAL FUNCTIONS
I Critical	Director and or Assistant Directors	Provide leadership, administration and serve as policy section
I Critical	Director of Information Technology Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241	Forwarding phones, obtaining replacement computers, supporting network/internet connection at new location.
I Critical	DFCM Maintenance and Operations Manager Scott Whitney, DFCM, sbwhitney@utah.gov, (801) 538-3303	Pre-designated recover location approval
I Critical	DAS Public Information Officer Marilee Richins, EDO, mprichins@utah.gov (385) 315-1290	Alert staff, counties, media, public and federal partners as needed.
II Critical	DHRM Specialist Jon Gardner, DHRM, jongardner@utah.gov, (801) 538-3248	Provide personal points of contact of staff
II Critical	DAS Finance Manager Jerry Gearheart, Finance, jgearheart@utah.gov, (801) 538-1023	Administrative Services Reestablish Payroll
III Critical	Emergency Operations Center Team Lead David Popelmayer, Dept of Public Safety, dpopelmayer@utah.gov, (801) 538-3779	When needed, manage Emergency Operations Center and support Emergency Support Function (ESF 7)

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CONTINUITY OF OPERATIONS RECOVERY LOG *P2-1*

Division: DAS Purchasing

DATE/TIME	ACTIVITY

*Each Individual involved in Continuity of Operations recovery process should keep a log. All logs will be integrated prior to creating Final Situation Report.

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UNDAMAGED RECOVERABLE ITEMS P2-2

Division: DAS Purchasing

DESCRIPTION OF ITEM	TYPE	SPECIFIC LOCATION

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GENERAL SITUATION ASSESSMENT P2-3

Division: DAS Purchasing

Situation (Power Failure, Fire, Flood, Earthquake)	*Severity (High, Medium, Low)*	*Outage Duration Expectation* **Hours____ Days____**	*Date/Time of Occurrence*
Geographical Scope of Situation (Building, Street, Neighborhood, City, Region, State)			
Human Impacts (Include medical, relocation, property destruction, evacuation possibilities, etc. for staff, families, members, surrounding community)			
Damage Assessment (Building Integrity, Furniture, Utilities, Other—Include if useable or not)			
Impact on System-Wide Computer System			
Impact on System-Wide Communications			
Key Agency Functions Impacted by this Situation			
Other Important Information			

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AREA/FUNCTION SPECIFIC SITUATION ASSESSMENT P2-4

Division: DAS Purchasing

Situation (Power Failure, Fire, Flood, Earthquake)	*Severity (High, Medium, Low)*	*Outage Duration Expectation* **Hours____ Days____**	*Date/Time of Occurrence*
Geographical Scope of Situation (Building, Street, Neighborhood, City, Region, State)			
Human Impacts (Include medical, relocation, property destruction, evacuation possibilities, etc. for staff, families, members, surrounding community of this Site)			
Impact to Site (Physical Damage, inhabitability)			
Impact on Site's/Function's Computer System			
Impact on Site's/Function's Communications			
Functions Impacted by this Situation at this Site			
Other Important Information			

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EMERGENCY POLICIES P3-1

This form is to be used as standard operating guidelines (SOGs) are developed

POLICY	AUTHORIZED BY	DESCRIPTION
http://le.utah.gov/~code/code.htm http://le.utah.gov/UtahCode/title.jsp	Governor of Utah	
http://purchasing.utah.gov/purchasing/buyer-information/2-purchasing/41-purchasingpolicyandrules.html	Division Director or Designee	Purchasing Division Administrative Policies and Procedures
Utah State Code and Rule		State Code including the Procurement Code.

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INFORMATION SYSTEMS BACKUP LOG P5-1

[Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241]

Date	*Media Type/ ID #'s*	*# In Set*	*Description*	*Location*	*Verified By*
Nightly	Sequel Server	1	Sequel Server database for Purchasing and General Services applications. (ITAS024SP)	State Office Building	Scott Wolford
Nightly	Sequel Server	1	Surplus Properties	State Office Building	Scott Wolford
Saturday morning	Sequel Server	1	Sequel Server database for Purchasing and General Services applications. (ITAS024SP)	Richfield	Scott Wolford
Saturday morning	Sequel Server	1	Surplus Properties	Richfield	Scott Wolford
			Additional support: Tom Hanson, DTS 801-538-3653 801-837-0467 tomhanson@utah.gov		

Information Systems Backup Description

Information on both the 168.177.195.248 and 168.177.195.152 servers are backed up nightly using IBM Tivoli at 1am to the Salt Lake datacenter and replicated weekly every Saturday morning to the Richfield, Utah datacenter. The Division also has a small database on an Amazon Web Server (Cloud). It's the back end for our contract search, and solicitation docs on https://solutions.sciquest.com/apps/Router/Login?OrgName=StateOfUtah&URL=.

Multiple versions of documents are retained if newer than 90 days. If a document's last saved date is older than 90 days, only the latest copy is retained and backed up. See below schedule provided by DTS Hosting.

OFF-SITE DATA FILE RECOVERY PROCEDURES *P5-2*

[Amie Hughes, DTS, amiehughes@utah.gov, (801) 520-8241]

DOCUMENT NAME	FILE TYPE	FILE PRIORITY	LOCATION OF FILE	RECOVERY PROCEDURES	AUTHORIZING NAME
Purchasing and General Services Applications	Sequel Server Database	III	CBA / Richfield	Contact DTS and restore backup	Christopher Hughes, Terri O'Toole
Surplus Properties	Sequel Server Database	III	Fleet / Richfield	Contact DTS and restore backup	Christopher Hughes, Terri O'Toole, Dan Martinez

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MEDIA INQUIRY LOG

[Marilee Richins, EDO, mprichins@utah.gov (385) 315-1290]

All Division staff must refer all media inquiries to the Public Information Officer (PIO), Marilee Richins, 801-678-9613 who serves as the official spokesperson unless another individual is designated.

DAS Purchasing

Event :_____

Done	*Date*	*Time*	*Name*	*Company*	*Phone #*	*Notes*

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MENTAL HEALTH SUPPORT PLAN FOR STAFF

The Utah Department of Health has developed a curriculum that trains and certifies mental health professionals who are available to respond in a timely manner to disasters in their community and statewide. Augmentation of behavioral health care professionals is also available through the Utah Medical Reserve Corps (MRC) (www.utahmrc.org). These MRC behavioral health volunteers have significant clinical and disaster mental health experience. Some Health District staff members and MRC volunteers have received training in Psychological First Aid and Critical Incident Stress Management (CISM). For more information contact Division of Substance Abuse and Mental Health, Robert Snarr, RSnarr@utah.gov, 801-647-5756 or 801-538-4080.

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HUMAN RESOURCE DATA REQUEST FORM

[Jon Gardner, DHRM, jongardner@utah.gov, (801) 538-3248]

COOP Planner Human Resource Data Request and Transmission Instructions and Request Form

To access private, controlled, or protected records from human resource data, you must provide assurance that the record or record series is necessary to perform the duties and functions of your department. You must also assure the records will be used for purposes consistent with the purpose the records were collected or obtained and that access will be limited and properly restricted. (See Utah Code § 63G-2 Utah Government Records Access and Management Act.)

Following is the process for requesting and receiving human resource data for the purpose of preparing emergency contact lists associated with Continuity of Operations Plans (COOP). We request that one person per agency receive this information. You will be asked to list other individuals who will have access to the data such as division COOP planners.

1. Complete request form and return to Shawn Domgaard.
    a. The Human Resource Data Request form follows the instructions on this document. It is shared via Google Drive here: HR Data Request. You must save a copy so that you can complete and return to Shawn Domgaard at sdomgaard@utah.gov.
2. Request will be reviewed within 5 working days.
    a. Approved requestor will be notified by Shawn.
        i. An email with the requested information will come from hr-reports@utah.gov.
        ii. The report will be updated and emailed to requestor monthly.
    b. If denied, an explanation will be provided.

3. If any information changes from the original request form, such as individuals who will have access to this data, please contact Shawn Domgaard immediately.

4. Termination of Access
    a. If you leave the position of COOP planner you must request the emails be terminated.
    b. Submit a ticket to AskHR by clicking on the preceding link or access through the Employee Gateway. Select “BIS - Data Requests & Support” as the topic of your case, complete and submit.
    c. You will be notified via email when the ticket has been acted upon and closed.

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HUMAN RESOURCE DATA REQUEST FOR COOP PLANNER
[Jon Gardner, DHRM, jongardner@utah.gov, (801) 538-3248]

Name of Requestor: _____

Utah Agency No.: _____

To access private, controlled or protected records from the HR Data Warehouse the requestor (governmental entity) must provide assurance that the record or record series is necessary to perform the governmental entity's duties and functions. The requesting governmental entity must also assure the record or record series will be used for purposes consistent with the purpose the record or record series was collected or obtained and that access will be limited and properly restricted. (Per Utah Code § 63G-2 Utah Government Records Access and Management Act.) To assist in making these determinations please provide the following information in spaces provided below:

- **Why is the requested information necessary to perform the governmental entity's duties and functions?**

Please type your response here

- **Non-restricted and personally identifiable information provided in the emergency contact report.**

Employee **Public** Info	First Name	MI	Last Name	Title	Dept Name/ Org #	Supv Name	FT/PT	-
EE Work **Public** Info	Building Name	Work Address Line 1	Work Address Line 2	Work Address City	Work Address State	Work Address Zip	Work Phone	Work Email
EE Home **Private** Info	Address 1	Address 2	City	State	Zip	Home Phone	Cell Phone	Home Email
Emergency Contact **Private** Info	Contact First Name	Contact Last Name	Contact Phone	Contact Alt Phone	Relationship	-	-	-

- **Please list all the names, job titles, and email addresses of individuals who will have access to this data.**

Name	Job Title	Email Address

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Continue the section above by adding more rows if necessary to list all who will have access to this information.

- **How will this information remain restricted and confidential?**

Please type your response here

Agreement to Maintain Confidentiality of Human Resource Data

The undersigned, representing the agency listed at the top of this document, agree to maintain private human resource data in a secure environment. All private data will be encrypted during transmission and at rest. The requesting agency will be responsible for any liability incurred from the loss of human resource data maintained by the agency.

Requester Name: _____
Email:_____

_____
Signature Title Date

Agency Head/Designee Signature:
_____

Date
Please complete this form and return to Shawn Domgaard at sdomgaard@utah.gov.

For HR Use Only

Determination that the use of this information meets the requirements of Utah Code § 63G-2 Utah

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Government Records Access and Management Act.

Approved_____

Denied _____ Reason:

_____

_____

Signature Date

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State of Utah Bi-Weekly Time Sheet

NAME: EIN: PAY PERIOD END DATE:

ORG: DIST COD WORK SCHEDULE: FLSA: WORK GROUP: COMP/OT:

A/A TYPE	SAT	SUN	MON	TUE	WED	THU	FRI	WEEK 1 TOTAL	SAT	SUN	MON	TUE	WED	THU	FRI	WEEK 2 TOTAL	PERIOD TOTAL
WORKED *																	
A - ANNUAL																	
S - SICK																	
C - COMP																	
X - EXCESS																	
V- CV SICK																	
DAILY TOTAL																	
FD CODE																	
ONCALL HRS																	
SHIFT CODE																	
APPROVAL																	

* Hours Worked are defined by Federal and State Law. For further clarification, see State DHRM Rules for FLSA time reporting Requirements.

By signing this time sheet, I verify that the above reported hours worked and absences recorded are accurate for this pay period.

Employee Signature: _____ Date: _____

Approval: _____ Date: _____

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ABSENCE TYPES

A Annual Leave	NF LWOP-Family/Med	OM Other-Military	SD Sick/Dependent	XF Excess/FMLA
AF Annual/FMLA	NM LWOP-Medical	OO Other-Organ	SF Sick/FMLA	Y LWOP-With Accrual
AS Annual/Sick Exh	OA Other-Admin	OP Other-Protected	SI Sick/Industrial	YF LWOP-Furlough
C Comp Used	OD Other-Disaster	OR Other-Reward	V Converted Sick	YI LWOP-Industrial
N LWOP-No Accrual	OE - Other-Emergency	OS Other-Student	VF Conv. Sick/FMLA	
NA LWOP-Armed Svcs	OJ Other-Jury Duty	S Sick	X Excess	

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PAYROLL RECOVERY PROCEDURES (5/19/15)

[Jerry Gearheart, Finance, jgearheart@utah.gov, (801) 538-1023; Jon Gardner, DHRM, jongardner@utah.gov, (801) 538-3248]

The SAP Human Capital Management System is used to pay State of Utah employees every two weeks. For failover purposes, a fully functioning and constantly updated version of the system is maintained in the Richfield Utah data center. In the event of an extended production down incident, the failover system will become the production system. After failover is complete, payroll will be processed at the Richfield site in one of two ways:

1) Payroll will be processed based on estimated time entries if the severity or timing of the incident is such that time and other pay entries cannot be made on schedule (These entries can be retroactively corrected in subsequent pay period when the situation permits).

2) Payroll will be processed in the normal manner if the severity or timing of the incident allows for the normal entry of time and other pay as scheduled.

In the event of a catastrophic disaster, if the Employee Resource Information Center (ERIC) within DHRM cannot process and approve payroll, Finance can authorize the auto-payment for state employees. Employees' payment will be coded as work and will be for the amount of hours that coincide with their schedule code (e.g. full time employees will be compensated for 40 hours and part time employees will be compensated for 30 hours or less).

Once disaster recovery begins, the ERIC will go through employees' time to determine whether the time auto-payed was actually time worked and make adjustments retroactively if necessary. If the time was not actual time worked and there is not enough leave to cover the hours, as it currently stands, each agency will have to decide whether to let employees keep their pay, or to have employees make up their time. In addition, as it currently stands, if an employee(s) pass away and still receive compensation through auto-pay, it will be up to each agency's discretion whether or not to collect the paid wages from the beneficiary(ies).

There is no existing state policy that addresses exactly how state employee payment will be handled in the event of disaster; therefore, the scenario previously explained will happen by default. DHRM is in the process of working with both Finance and soon the Governor's Office to create a policy resolving this issue.

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SAMPLE MEMORANDUM OF UNDERSTANDING

PURPOSE
The Utah State Fairgrounds have been designated as the disaster recovery location for the Utah Dept. of Commerce [DOC]. The purpose of this Memorandum of Understanding [MOU] is to ensure that both the DOC and the Fairgrounds have a mutual understanding in regards to the DOC's use of the Fairgrounds during a catastrophic event.

TIMELINE
Effective Date: Upon Signing **Termination Date:** 6/30/2019

SIGNATORY CONTACTS
Utah Dept. of Commerce: Francine Giani, Director Phone: (801) 530-7631 Email: fgiani@utah.gov **Utah State Fairgrounds:** Larry Mullenax, Director Phone: (801) 538-8400 Email: lmullenax@utahstatefair.com

FACILITY USE
In the event of a catastrophic emergency, in which the Heber Wells building is not accessible, the DOC will be permitted to set-up a temporary business installation at the Fairgrounds. The primary location for DOC operations is the #33 Guest Services Building. It is located near the critical State network infrastructure at the Driver's License Division, and is most suitable for DOC operations. The secondary location will be the #7 Deseret Building in the event that Guest Services is damaged or inaccessible. The DOC will be permitted to store two or three small roller crates with some essential recovery equipment at the Fairgrounds. The precise location will be determined by the Fairgrounds Director. The Fairgrounds agrees to notify DOC in the event that these need to be moved to another room.

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EQUIPMENT USE
The Fairgrounds management has indicated that the DOC may have access to any available tables, chairs, power cables, network cables, electricity, fuel, water, and restrooms while using the recovery location. However, the Fairgrounds cannot guarantee that these items will be readily available in the event of a major emergency.

COST
There will be no financial transactions involved in this MOU. However, if a long-term DOC business installation has to be set-up on the Fairgrounds, a financial agreement between DOC and the Fairgrounds may become necessary at that time.

NAME	TITLE	SIGNATURE	DATE
Francine Giani	Director		
Larry Mullenax	Director		

Addendum 1: Utah State Fairgrounds Map

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EMERGENCY AND UTILITY NUMBERS

Emergency Numbers

- For Emergencies Call 9-1-1 http://911.utah.gov/

Non-emergency numbers (Salt Lake City area)

- Capitol Security – (801) 538-1111
- DFCM – (801) 238-7903
- Fire Salt Lake Fire Department (801) 799-4321 http://www.slcfire.com/
- Fire United Fire Authority (801) 743-7200 http://www.unifiedfire.org/
    - Unified Fire Authority (UFA) provides fire protection, emergency medical services and other emergency responses for Alta, Cottonwood Heights, Draper, Eagle Mountain, Herriman, Holladay, Midvale, Riverton, Taylorsville and the Unincorporated Areas of Salt Lake County. UFA is the largest fire department in the state of Utah
- Law Enforcement Salt Lake City Police Department/Dispatch (801) 799-3000 http://slcpd.com/contact-us/
    - If you require an officer to respond but it isn't an emergency, call this number. The non-emergency phone number keeps our 911 phone lines open to help those who require an emergency response.
- Law Enforcement Utah Highway Patrol Section 4 Hours: 8am-5pm, M-F (801) 538-1111; (801) 284-5520
- Travel UDOT Traffic Operations Center (801) 887-3700 http://www.udot.utah.gov/

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EMAP Glossary

EMAP	Planning Standards	Page Number & Section Title - Location of each Standard in Plan	Suggestions:
4.4.1	**Planning Process**		
	Formal Planning Processes	See Continuity of operations timeline on pp. 12	
	Involves Stakeholders	See Continuity of Operations Team on pp. 10	
	Addresses All-Hazards	See pp. 9	
4.4.2	**Plan Addresses**		
	Purpose and Scope or Goals and Objectives	See pp. 5	
	Authority	See pp. 5	
	Situation and Assumptions	See pp. 6	
	Functional Roles and Responsibilities for internal and external agencies, organizations, departments and positions	See pp. 40	
	Logistics Support & Resource Requirements Necessary to Implement the Plans	See pp. 8	
	Concept of Operations	See pp. 11	

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	Plan Maintenance - a method and schedule for evaluation, maintenance, and revision	see AAR pp. 70	p. 94 needs an updated date for emap.
4.4.5	**COOP Describes How Essential Functions Continue**		
	Processes and functions that must be maintained	See pp. 43	
	Essential Positions	See pp. 43	
	Lines of Succession	See pp. 15	
	How Critical Applications and Vital Records will be safeguarded	See pp. 7	
	Communications Resources	See pp. 8	
	Prioritize for recovery of processes, functions, critical applications and vital records	See pp. 36	
	Great practices in this plan: like the request for HR data, like the DAS staff that supports the EOC information, appreciate the extensive work done on the cyber information. Good formatting also. Like the staff reporting information that is updated for your agency. Great job on including details regarding continuance of pay for staff.		

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	Alternate Operating Capability & Facilities	See pp. 15	

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Continuity Of Operations Summary Sheet

DAS Division of Purchasing
(Reviewed 7-14-17)

I. Key Positions, names, and contact information in the Service Line or Program:	
Position: Name	Contact Information
1. Chief: Christopher Hughes 2. Assistant Chief: Terri O'Toole; 3. Program Manager: Andy Wright (State Mail); Dan Martinez (Surplus)	Mr. Hughes 801-538-3254 Ms. O'Toole 801-538-3147 Mr. Wright 801-323-4305 Mr. Martinez 801-619-7219

II. Service Locations:
(Building and Floor numbers)

- DAS Purchasing 3150 State Office Building, Capitol Hill Complex, 450 North State Street, Salt Lake City, UT 84114
- State Mail 250 North 1950 West, Suite C, Salt Lake City, Utah 84114
- Surplus 447 West 13775 South, Draper, Utah 84020

III. Service or Service Line/Program Lines of Succession by Position:
(EMAP requires at least 3-deep)

1. Chief: Christopher Hughes
2. Assistant Chief: Terri O'Toole;
3. Program Manager: Andy Wright; Dan Martinez

IV. Description of Services Provided:
(General activities/functions Purchasing provides for State Agencies, the public, and staff. Include the various Programs Purchasing is responsible for.)

- Purchasing manages over $2.0 billion in public spend for goods and services, manages over 800 cooperative contracts for goods and services used by state agencies, local governments and educational entities across the State.
- State Mail provides mail preparation and distribution services to state agencies, cities, and special service districts between Ogden and Spanish Fork. Services include intelligent inserting, automated inserting, folding, tabbing, address printing, presorting, and mail design.
- The State Copy Center provides photocopying services to state and local government agencies, government institutions, and political subdivisions.
- Copier Lease and Maintenance program provides copier lease and maintenance services to state and local government agencies, government institutions, and political subdivisions.
- The Surplus Property Program is responsible for the accounting and ethical disposal of State-owned property, first through reutilization, then public sale.

V. General Service Information:

Number of employees: 26 (including Bidsync files computer)
Estimated number of computers: 25
Estimated number of copiers/scanners/printers: 3 canon image runners
Estimated number of telephones: 25
Estimated number of Fax Machines: 1 fax machine

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Essential service specific equipment (Required equipment not found anywhere else on campus): None Required service software programs: MS Suite and Adobe Professional
VI. Vital Records and/or Databases Necessary to Service Functions: (Contract Records, Personnel Files, databases, SOPs, etc..)
All files can be located through the F-drive, Sciquest, and BidSync computer. Hard copies are located in on file at 3150 SOB. Databases reside on a DTS managed server. SOPs reside as state law and division policy and are available through the internet.
VII. Critical Tasks – Continuous or Immediate: (Services/activities Purchasing provides that the state could not do without for even 1 day)
1. ESF 07 support in the state's Emergency Operation Center
VIII. Critical Resources needed to complete the Critical Tasks listed in paragraph VII: (Personnel, equipment, documents, supplies, computers, printers etc.)
# of Essential Staff: 8 (Director and assistants and four EFS 07 agents) Computer (#s): 8 Printers: 1 Canon imagerunner Service Specific Computer Programs: MS Word and Adobe professional Require access through firewall – Yes/No: Yes Telephones: 4 Equipment: fax Other…
IX. Alternate Site(s) for the temporary Continuation of Critical Tasks: (Locations that have been identified or possibly used if the primary area is unavailable)

Internal – on campus:	**Other state buildings:**	**Non-state locations:**
East Building Cafeteria	Surplus Property building; State Mail building	Any location with internet and state secured and auditable computer

X. Critical Tasks – 5 to 7 Days: (Activities your section provides that would seriously impact the state if not accomplished after 5 to 7 days -tasks not identified previously)?
1. None
XI. Additional Resources needed to complete the Critical Tasks listed in paragraph X: (Personnel, equipment, documents, supplies, computers, printers etc.)
NA
XII. Long-Term Tasks – 7 to 30 Days: (Activities that could be delayed for a week but need to be accomplished within 30 days - tasks not identified previously)
1. Contract renewals 2. Consulting agencies on their emergency purchasing requirements

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XIII. Additional Resources needed to complete the Critical Tasks listed in paragraph XII: (Personnel, equipment, documents, supplies, computers, printers etc.)
NA
XIV. Emergency Telework (Identify staff members that could perform the Critical Tasks from home or a remote site)
1. Staff members in possession of a DAS Purchasing laptop or DTS approved personal device.

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Continuity Of Operations Plan Exercise Log

08 Exercise: Pres. Trump Bears Ears Capitol Visit - COOP exercise			
Exercise Scheduled on:	12/1/2017	Exercise held on:	12/4/2017
Exercise objectives achieved?	Yes, able to access F-drive and office work phone messages	Changes needed:	None
Changes Assigned to:	Garret Johnston	Exercise Report Reviewed by:	Chris Hughes
		Title	Assistant Director

07 Exercise: Active Shooter Department Exercise - COOP exercise			
Exercise Scheduled on:	06/28/2017	Exercise held on:	11/8/2017
Exercise objectives achieved?	Yes, dry run on what we would hear should there be an active shooter in the State Office Building. Pistol and long barrel blanks shot on each floor.	Changes needed:	None
Changes Assigned to:	Garret Johnston	Exercise Report Reviewed by:	Chris Hughes
		Title	Assistant Director

06 Exercise: FEMA/Utah Terrorism - COOP exercise			
Exercise Scheduled on:	4/4/2017	Exercise held on:	4/4/2017
Exercise objectives achieved?	Yes, terrorism scenario	Changes needed:	Add mental health support plan for staff.
Changes Assigned to:	Garret Johnston	Exercise Report Reviewed by:	Chris Hughes
		Title	Assistant Director

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05 Exercise: Inauguration Day work from home event - COOP exercise			
Exercise Scheduled on:	1/3/2017	Exercise held on:	1/4/2017
Exercise objectives achieved?	Yes, able to access F-drive and office work number	Changes needed:	None
Changes Assigned to:	Garret Johnston	Exercise Report Reviewed by:	Chris Hughes
		Title	Assistant Director

04 Exercise: FEMA/Utah Cyber - COOP exercise			
Exercise Scheduled on:	4/5/2016	Exercise held on:	4/5/2016
Exercise objectives achieved?	Yes, Cyber Scenario	Changes needed:	Add cyber to plan, general updates
Changes Assigned to:	Garret Johnston	Exercise Report Reviewed by:	Terri O'Toole
		Title	Assistant Director

03 Exercise: ShakeOut Exercise			
Exercise Scheduled on:	04/17/2015	Exercise held on:	4/17/2015
Exercise objectives achieved?	Yes, Earthquake Scenario	Changes needed:	None
Changes Assigned to:	Garret Johnston	Exercise Report Reviewed by:	Paul Mash
		Title	Assistant Director

02 Exercise: Purchasing COOP TTX			
Exercise Scheduled on:	02/19/2014	Exercise held on:	02/19/2014
Exercise objectives achieved?	Yes, fire scenario	Changes needed:	Update Plan
Changes Assigned to:	Garret Johnston	Exercise Report Reviewed by:	Paul Mash

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	Title	Assistant Director

<u>01 Exercise:</u> ShakeOut			
Exercise Scheduled on:	04/17/2013	Exercise held on:	04/17/2013
Exercise objectives achieved?	Yes, all hazards scenario	Changes needed:	Update Plan
Changes Assigned to:	Jeff Mottishaw	Exercise Report Reviewed by:	Paul Mash
		Title	Assistant Director

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After Action Report (AAR)

[EMAP REQUIREMENT]

AAR is an EMAP requirement to be completed on an annual basis. *Note, we do not have to fix every problem every year, but we do need to prioritize and track the in-progress items.*

COOP TTX After Action Report					Date: 4-4-17
FINDING	ASSIGNED	DUE DATE	UPDATED DATE	PRIORITY	CORRECTIVE ACTION
A FEMA conducted exercise on terrorism showed a need to include information in plan on mental health support for staff	Garret	9/2018	1/2018	I	Mental Health Support Plan for Staff has been added as an appendix
	Completed				
	In Process				

COOP TTX After Action Report				Date: 1-4-17
FINDING	ASSIGNED	DUE DATE	PRIORITY	CORRECTIVE ACTION
January 4, 2017 Division of Purchasing Inauguration Day work from home event. "After speaking with Kent, we are going to offer staff the following options: (1) work in	Chris Hughes			"Everything worked out. Agents were able to respond to email and most were able to check their phone messages and login to the

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the office and park appropriately; or (2) work from home (read the code, review solicitation on SciQuest, respond to emails in a timely manner, etc.). If you are going to work from home please let me know. Thanks, Christopher Hughes, J.D., Assistant Director of Contract Review"				F:Share. Agents that had problems were able to work with other agents to fix the problems. Thanks, Christopher Hughes, J.D., Assistant Director of Contract Review"
	Completed			
	In Process			

COOP TTX After Action Report				Date: 5-1-16
FINDING	ASSIGNED	DUE DATE	PRIORITY	CORRECTIVE ACTION
April 21, 2016 Active Shooter department drill revealed a need for better staff communication than email and phone calls in a rapid response scenario.	Chris Hughes; Garret Johnston			The Division looked at GroupMe as a voluntary group messaging service that will allow instance text communication with all employees who opt to participate. Unfortunately, this idea did not take off. Rather, a handful of employees volunteered their cell numbers as part of the Coop so that they can be

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				texted in case of an emergency.
April 5, 2016 FEMA annual exercise helped us examine how cyber incidents could impact our division.	Garret Johnston			Created a Coop Cyber plan that addresses when to call DTS and who to notify in management.
	Completed			
	In Process			

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Continuity Of Operations Plan Update / Review Log

ORIGINAL PLAN COMPLETION DATE: **11/05/2012**
CURRENT PLAN COMPLETION DATE: **7/14/2017**

Executive Management Approval: **//s// Christopher Hughes 7/17/2017**

Update:	Date change made:	10/17/2017
		Rewrote Roles and Responsibilities section.
	Person making updates:	Div. COOP Planning Team

Update:	Date change made:	7/14/2017
		Content/Pages Changed: COOP employee summary doc added to appendix.
	Person making updates:	Div. COOP Planning Team

Update:	Date change made:	6/15/2016
	Content/Pages Changed:	SunGuard software terminated. Plan rebuilt in Google Docs. Cyber Plan added. Lines of succession and protocol for staff activation during disasters were updated.
	Person making updates:	Div. COOP Planning Team

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Update:	Date change made:	5/01/2015
	Content/Pages Changed:	DTS edits to plan
	Person making updates:	Div. COOP Planning Team
Update:	Date change made:	5/01/2014
	Content/Pages Changed:	Lines of succession
	Person making updates:	Div. COOP Planning Team

Update:	Date change made:	4/01/2013
	Content/Pages Changed:	Multiple for EMAP compliance
	Person making updates:	Div. COOP Planning Team

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