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|  | <b>State of Alaska<br/>Department of Corrections<br/>Policies and Procedures</b> | <b>Index #:</b> 110.02                      | <b>Page 1 of 17</b> |        |
|   |  | <b>Effective:</b> 6/30/13                   | <b>Reviewed:</b>    |        |
|   |  | <b>Distribution:</b> Public                 | <b>Due for Rev:</b> | 6/2014 |
|   | <b>Chapter:</b>  | Administration, Organization and Management |                     |        |
| <b>Subject:</b>   | Continuity of Operations Plan  |   |                     |        |

I. Authority

In accordance with AS 44.28.030, AS 33.30.011, and 22 AAC 05.155, the Department of Corrections shall develop and adopt policies and procedures that are consistent with laws for the guidance, government and administration of correctional facilities, programs and field services.

II. References

Alaska Statutes

AS 33.30.011

Alaska Administrative Code

22 AAC 05.050

National Security Presidential Directives/Homeland Security Presidential Directives

NSPD-51 / HSPD-20 (National Continuity Policy)

U.S. Department of Homeland Security

Federal Continuity Directive 1

Continuity Guidance Circular 1

Continuity Guidance Circular 2

State of Alaska

State of Alaska Emergency Operations Plan, 2011

III. Purpose

The purpose of this Continuity of Operations Plan (COOP) is to describe how the State of Alaska Department of Corrections operates if an emergency threatens or incapacitates operations. This document identifies lines of succession; provides for the maintenance and regeneration of full department functions.

This document applies to the full spectrum of threats and emergencies that may affect the Department of Corrections essential functions. In this scenario, one or more Department of Corrections facility, field office or central office is closed for normal business activities.

IV. Application

All Staff

V. Definitions

As used in this document, the following definition shall apply:

- A. **Activation:** When all or a portion of the Continuity of Operations Plan has been put into effect.
- B. **After Action Report (or Review) and Improvement Plan:** A report that summarizes and analyzes performance in both an exercise and actual plan activation. The report includes lessons learned, best practices and an Improvement Plan. A report prepared for an exercise may also evaluate achievement of selected exercise objectives and demonstration of the overall capabilities being exercised.

- C. **Alternate Facility:** A location made essential to carry out Mission Essential Functions during the loss of the use of the normally-used facility in a situation where the COOP is activated. Listed on Form D.
- D. **Communications Coordinator:** Department employee designated by the Commissioner to receive, research and respond to requests for information, access to facilities or other accommodation by media representatives.
- E. **Continuity of Operations:** The effort to ensure the Department can continue its mission essential functions across a wide range of potential events.
- F. **Continuity of Operations Plan (COOP):** A set of documented procedures developed to provide for the continuance of mission essential functions during an emergency.
- G. **Delegations of Authority:** An action by which a Department official assigns a measure of responsibility to another Department official.
- H. **Devolution:** The capability to transfer authority and/or responsibility for Mission Essential Functions from department leadership and staff to other organization leadership or staff and facilities and to sustain operational capacity for an extended period of time.
- I. **Emergency Response Coordinator:** Department staff person delegated to coordinate activation and implementation of the COOP and to report to the Commissioner.
- J. **Emergency Response Group (ERG):** Department staff delegated to coordinate COOP activation and implementation.
- K. **Go Kits:** a portable and secure container with items necessary for personal use, security and communications. Suggested items to include in a 'go kit' are listed in Annex D.
- L. **Improvement Plan:** A list of action steps and resources required to correct a deficiency identified in an After Action Report, including the individual responsible for the actions and an estimated timeline for completion.
- M. **Mission Essential Function(s) (MEFs):** Department of Corrections actions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.
- N. **Orders of Succession:** A list that specifies by position who will automatically fill a position should it be vacated due to an emergency or COOP activation. (Form A)
- O. **Reconstitution:** The process by which the Department resumes normal operations.
- P. **Support Functions:** those functions that must be performed to support and/or implement MEFs before, during and after an emergency.
- Q. **Vital Records:** Documents necessary to the continued operations of an agency or facility, and those records needed to protect the legal rights of citizens.

## VI. Policy

The Primary Mission Essential Function of the Department of Corrections is to provide secure confinement of offenders. The Department of Corrections must be prepared to continue to function during an emergency or threat of an emergency and to effectively resume critical operations. The purpose of this Continuity of Operations Plan is to guide the actions necessary to ensure critical functions continue and to achieve an orderly recovery from an emergency. As an extension of their duties, department leadership at all levels will ensure that personnel are aware of COOP procedures as outlined in Section VII.

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VII. Procedures (refer to Annex B: COOP Implementation decision flow chart)

COOP procedures are an effort within the Department of Corrections to effectively ensure that Mission Essential Functions continue to be performed during a wide range of emergencies, and to ensure delivery of critical services when personnel, equipment and other resources are missing or not operational. These procedures also provide direction for reconstitution (an orderly return to normal operations), training, evaluation and development of corrective action plans.

A. Orders of Succession and Delegations of Authority

1. The Commissioner, each Deputy Commissioner, Division Director, Deputy Director, Superintendent, Assistant Superintendent, Lieutenant, Field Probation Supervisor, the Chief Procurement Officer, Communications Coordinator, Training Academy Director and the Data Processing Manager shall designate a minimum of three successors for each position essential to Department Mission Essential Functions. Orders of Succession / Delegations of Authority shall be recorded on Form A and updated as needed.
2. When an Order of Succession is exercised according to A(1), Standing Delegations of Authority remain with the position/title with the exception of when, for example, professional licensure is required or other circumstance exist that limits a delegated authority to a staff member with specific skills or qualifications. Such exceptions will be noted on Form A.
3. Orders of Succession/Delegations of Authority shall be kept with each working copy of this plan document as specified in C of this section and shall be reported to the Emergency Response Coordinator for distribution.

B. Emergency Response Group

1. The Commissioner will designate an Emergency Response Coordinator. The Emergency Response Group (ERG) shall be comprised of Deputy Commissioners and Division Directors as well as Department personnel with select knowledge, skills and abilities required to perform MEFs and SFs. Those selected shall be recorded on Form B (Members of the Emergency Response Group).
  2. Each Manager shall identify personnel with select knowledge, skills and abilities required to perform MEFs as well as equipment and/or supplies necessary to carry out MEFs, and record them on Form E (List of Critical Staff/Equipment and Key Functions). Employees included on Form E shall be considered as qualified for appointment to the ERG as needed.
  3. Each Superintendent or designee, the Data Processing Manager, Chief Procurement Officer and each Division Director shall coordinate to create a Rapid Recall List of employees essential to MEFs. Rapid Recall Lists shall be submitted the Emergency Response Coordinator and shall be posted to this document as Form C (Rapid Recall List).
  4. Members of the Emergency Response Group will:
    - a. Be prepared to be self-sufficient for 3-5 days, including assembling and maintaining a 'go kit' kept at the workplace.
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- b. Maintain a family disaster plan and disaster kit at home that will allow the household of the ERG member to be self-sufficient for 3-5 days.
- c. Prepare a personal 'go kit' to be kept in an easily accessible location. Items to consider for inclusion in a 'go kit' are listed in Annex D

C. Physical Location of Plan Documents:

1. Copies of this plan and all Forms shall be placed in a binder and kept in each superintendent's office and at each central office in an appropriate location. Copies shall be placed with each deputy commissioner, division director, deputy director (if at a different location than director) the Communications Coordinator, the Data Processing Manager, Finance and Accounting Manager, Training Academy and the Chief Procurement Officer.
2. The Emergency Response Coordinator shall maintain a list of locations where binders are kept and develop procedures for keeping these binders current.

D. Alternate Facility Operations:

When a facility becomes unavailable or partly unavailable an alternative location must be utilized in order to carry out MEFs and reconstitution.

1. For correctional facilities, it is the responsibility of each Superintendent to assign up to three alternate locations for each structure which houses prisoners and for the facility as a whole.
2. For central offices, the Commissioner or designee will determine an alternate location for central office functions should any single central office be unavailable.
3. For other offices which perform MEFs but are not located in a Central Office or a Correctional Facility, it is the responsibility of the Division Director or designee to establish alternative locations for their continuing effective operation
4. The alternative location must be a site that can be operational within 12 hours of plan activation and sustain MEFs for up to 30 days. Criteria may include space, infrastructure, ability to store and/or prepare food, security, parking, network capability, interoperational and secure communication
5. All alternate locations will be submitted to the Emergency Response Coordinator and attached to this document as Form D (List of Alternative Locations).

E. Activation:

The Commissioner or designee is responsible for activating this plan. Upon activation, the Emergency Response Coordinator shall be informed and the Emergency Response Group convened. Implementation of the plan follows these steps:

1. As soon as feasible, department leadership and/or the ERG shall review the conditions of the emergency and determine the best course of action, including rescinding the decision to activate the plan.
  2. Requests for information shall be coordinated through the Communications Coordinator or Commissioner's designee. Superintendents may address
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requests for information from local media as warranted. The Communications Coordinator shall prepare to:

- a. Serve as primary media contact; ensure a consistent message; monitor media and counter any false or inaccurate information.
- b. Notify media of plan activation, including updating web site; gather all possible information; maintain or update status board and/or maps.
- c. Prepare and distribute a media release, including preparing talking points. Prepare for media briefings or conferences on a regular or 'as needed' basis; collect contact information;
- d. Serve as department liaison with any Joint Information Centers established and coordinate with the Governor's Office media staff.

F. Continuity Operations

1. Upon activation of this plan, key personnel will continue to perform MEFs if possible until ordered to cease operations by a superintendent or designee or by a Division Director, Deputy Commissioner or Commissioner or designee. Personnel not responsible for performing MEFs may be assigned alternate support functions as deemed appropriate.
  2. Duties of the Superintendent or designee of a correctional facility:
    - a. Upon activation of the plan, the Superintendent or designee will operate according to the facility's emergency plan as appropriate and implement security protocols.
    - b. The Superintendent or designee will inspect the facility and ensure infrastructure systems are functional. These systems include power, heating and ventilation, etc.
  3. Use of designated Alternate Location:

If the decision is made to transfer MEFs to an alternate facility, designated personnel may be required to arrive at the alternate facility to prepare the site. Upon arrival, designated personnel shall:

    - a. Ensure essential infrastructure systems such as electric power, water, heat and ventilation are functional.
    - b. Implement security protocols;
    - c. prepare check-in procedure to insure accurate count of staff present;
    - d. respond to inquiries from agency staff and department leadership.
  4. The superintendent may assign key personnel to perform MEFs from home or an alternate location if appropriate.
  5. Continuity Communications: The Superintendent or Manager should:
    - a. Assess the ability to communicate by electronic mail, land line or cellular telephone, or satellite telephone, and utilize any in operation. If methods of communication (5)(a) are not usable, a qualified staff member should be designated to act as courier in order to deliver information and documents to the closest facility or central office.
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b. Maintain a written record of actions taken and other conditions during COOP activation.

6. All operable satellite phones along with phone number should be listed on Annex E.

G. Vital Records:

The Manager shall identify and create an inventory of vital records (Form F Inventory of Vital Records) maintained at the respective facility or section. The location of the records and the inventory list shall be easily accessible with copies kept in backup locations with key staff informed of these locations.

H. Reconstitution Operations

1. Reconstitution will commence when the Commissioner or designee ascertains that the emergency situation has ended and is unlikely to reoccur.

2. The Commissioner, or designee, may appoint a Reconstitution Coordinator who will be responsible for initiating and coordinating operations to salvage, restore and recover the Department facility, facilities or systems impacted. The Reconstitution Coordinator shall:

a. Obtain the status of the facilities, systems and workforce affected by the event and determine whether the facility/system is fully capable of performing MEFs, or whether operations should continue at the new location. Upon obtaining this status, the Reconstitution Coordinator shall determine how much time is needed to repair effected facilities or systems.

b. Conduct a security and safety assessment of affected locations.

c. Coordinate with the Data Processing Manager, and/or other appropriate staff and/or contractors to verify that systems, communications and other required capabilities are available and operational.

d. Assist in preparation of an Activation Evaluation Report.

3. Each Division (or section as determined by the Commissioner or designee) will designate a point-of-contact to work with the Reconstitution Manager and update personnel on developments regarding reconstitution.

I. Corrective Action Planning

The Emergency Response Coordinator with assistance from the Reconstitution Coordinator will conduct a review of COOP operations within 60 days of reconstitution. The review will result in an Activation Evaluation Report consisting of an After Action Report and Improvement Plan submitted to the Commissioner or Commissioner's designee which shall identify systemic weaknesses and suggest corrective actions that will enhance the department's preparedness in the future.

J. Training and Exercise:

At minimum, the department shall conduct an annual readiness and preparedness exercise to ensure each facility can continue to perform MEFs in an emergency. The Emergency Response Coordinator, in cooperation with the Training Academy, will develop and carry out a table-top exercise, drill or

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functional exercise and, afterward, conduct a review and prepare an After Action Review and Improvement Plan.

VIII. Implementation

This policy and procedure is effective as of the date signed by the Commissioner. Each manager shall incorporate the contents of this document into local policy and procedure within 14 days. All local policies and procedures must conform to the contents of this document and any deviation from the contents of this document must be approved in writing by the Commissioner or designee.

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Date

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Joseph D. Schmidt, Commissioner  
Department of Corrections

Annex A: Mission Essential Functions and Support Functions  
Annex B: Decision Matrix  
Annex C: Risk Analysis and Vulnerability Assessment  
Annex D: Suggested items for Go Kit.  
Annex E: List of Satellite Phones/Phone Numbers

Form A: Orders of Succession/Delegations of Authority  
Form B: Members, Emergency Response Group  
Form C: Rapid Recall List  
Form D: List of Alternative Locations  
Form E: List of Critical Staff/Equipment/Key Functions  
Form F: Inventory of Vital Records

Links:

COOP Evaluation Tool/FEMA/Version 7:  
[http://www.fema.gov/pdf/about/org/ncp/cont\\_eval\\_tool.pdf](http://www.fema.gov/pdf/about/org/ncp/cont_eval_tool.pdf)

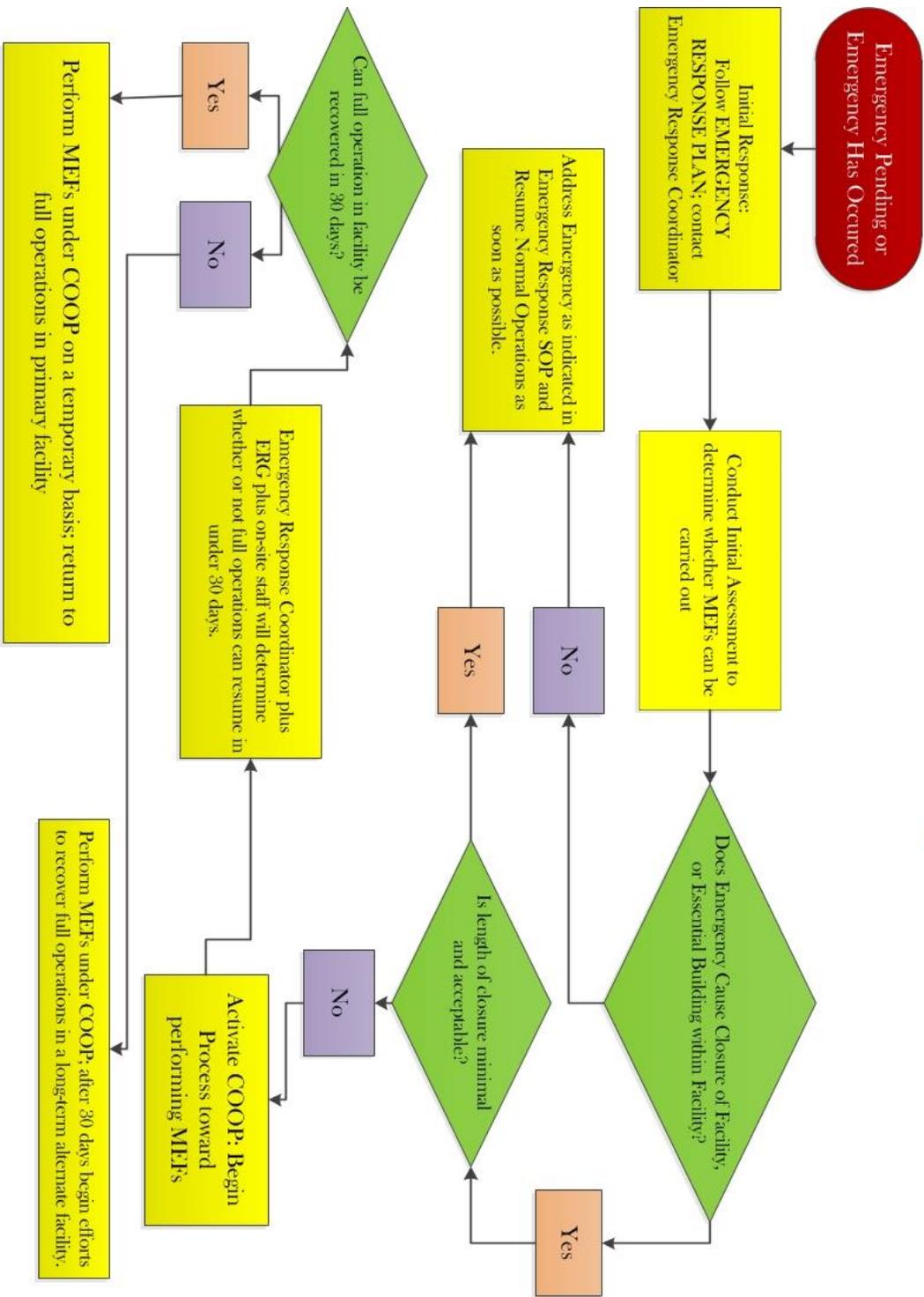
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ANNEX A:

**MISSION ESSENTIAL FUNCTIONS (MEFs) and SUPPORT FUNCTIONS (SFs)**

| <b>DIVISION/<br/>SECTION</b>                          | <b>MEF/<br/>SF</b> | <b>RESPONSIBLE TO:</b>   |
|---|--------------------|--|
| Commissioner  | MEF                | Assess situation. Activate COOP if warranted.<br>Activate Emergency Response Group   |
| Deputy<br>Commissioner/<br>Administration             | MEF                | Assess situation and provide guidance<br>Assume delegated authority if Commissioner unavailable  |
| Deputy<br>Commissioner/<br>Operations                 | MEF                | Assess situation and provide guidance<br>Establish Communications with Emergency Response Coordinator,<br>Division Director, Communications Coordinator, Commissioner or<br>designee   |
| Communications<br>Coordinator                         | MEF                | Provide public information; field calls from media;<br>Respond to calls from staff and the public at large;  |
| Emergency<br>Response<br>Coordinator                  | MEF                | Assist and advise Commissioner and Command Staff   |
| Food Services   | MEF                | Assess food service problems and take remedial action as needed.   |
| Inmate Health<br>Care                                 |                    | Assess health conditions at facility; advise on inmate, staff health<br>risks<br>Provide patient care, preventative measures and guidance  |
| IT Manager  | MEF                | Establish and/or advise on internet connectivity and telephone<br>service  |
| Deputy<br>Commissioner/<br>Administrative<br>Services | MEF                | Provide messenger/courier service to Central Office and other<br>institutions if internet and telephone service is unavailable.<br>Provide necessary vehicles for transportation and resupply<br>Fiscal reporting and budgetary services |
| Building<br>Maintenance                               | MEF                | Assess damage, if any, and advise ERG on usability<br>Assess water supply and waste water discharge and advise.  |
| Mental Health   | MEF                | Provide mental health support and guidance.  |
| Central<br>Pharmacy                                   | MEF                | Assess and advise; provide medications as prescribed in order of<br>greatest need.   |
| Human<br>Resources                                    | MEF                | Support payroll functions to ensure staff is paid on time  |
| Procurement   | MEF                | Provide emergency procurement  |
| Prisoner<br>Transportation                            | MEF                | Provide prisoner transportation as emergency situation might require   |
| Superintendent/<br>Assistant Sup't                    | MEF                | Provide secure confinement   |
| Chaplaincy/<br>Habilitation/Prog.                     | SF                 | Serve as liaison with families of prisoners  |

# COOP Implementation



## ANNEX C:

**RISK ANALYSIS AND VULNERABILITY ASSESSMENT**

| Threat/Event/Hazard                | Historic Occurrence | Relative Likelihood This Will Occur | Magnitude of Impact | Relative Risk<br><i>(Historic + Likelihood X Impact)</i> |
|------------------------------------|---------------------|-------------------------------------|---------------------|--|
| <b>Winter Storm</b>                | 4.83                | 4.92                                | 3.67                | <b>22.89</b>   |
| <b>Power/Utility Failure</b>       | 4.75                | 4.58                                | 3.17                | <b>21.76</b>   |
| <b>Severe Winds</b>                | 4.58                | 4.58                                | 3.42                | <b>20.24</b>   |
| <b>IT Failure</b>                  | 4.17                | 4.33                                | 3.33                | <b>18.59</b>   |
| <b>Extreme Cold</b>                | 4.08                | 4.5                                 | 3.08                | <b>17.94</b>   |
| <b>Earthquake (5.0 or greater)</b> | 4.25                | 4.25                                | 3.17                | <b>17.72</b>   |
| <b>Forest Fire/Smoke</b>           | 3.33                | 3.83                                | 2.83                | <b>14.17</b>   |
| <b>Public Health Emergency</b>     | 2.75                | 3.50                                | 3.25                | <b>14.13</b>   |
| <b>Hostage Incident</b>            | 1.92                | 3.25                                | 3.67                | <b>13.85</b>   |
| <b>Fire/Explosion</b>              | 3.67                | 3.08                                | 2.75                | <b>12.14</b>   |
| <b>Volcanic Eruption/Ashfall</b>   | 3.25                | 3.17                                | 2.75                | <b>11.97</b>   |
| <b>Transportation Accident</b>     | 2.92                | 3.42                                | 2.58                | <b>11.74</b>   |
| <b>Riot/Civil Disturbance</b>      | 1.33                | 2.83                                | 3.67                | <b>11.72</b>   |
| <b>Flooding</b>                    | 2.75                | 2.83                                | 3.0                 | <b>11.24</b>   |
| <b>Lightning</b>                   | 3.67                | 3.75                                | 2.0                 | <b>11.17</b>   |
| <b>Fuel Shortage</b>               | 1.83                | 2.58                                | 3.5                 | <b>10.86</b>   |
| <b>Arson</b>                       | 1.92                | 2.83                                | 3.0                 | <b>10.41</b>   |
| <b>Active Shooter</b>              | 1.08                | 2.75                                | 3.33                | <b>10.24</b>   |
| <b>War/Enemy Attack</b>            | 1.25                | 2.33                                | 3.50                | <b>9.41</b>  |
| <b>Sabotage</b>                    | 1.5                 | 2.42                                | 3.25                | <b>9.37</b>  |
| <b>Strike/Labor Action</b>         | 1.17                | 2.50                                | 3.25                | <b>9.30</b>  |
| <b>HAZMAT accident</b>             | 2.33                | 2.67                                | 2.58                | <b>9.22</b>  |
| <b>Bombing</b>                     | 1.17                | 2.42                                | 3.25                | <b>9.04</b>  |
| <b>Terrorist Act</b>               | 1.42                | 2.33                                | 3.08                | <b>8.60</b>  |
| <b>Pipeline Rupture</b>            | 1.92                | 2.67                                | 2.42                | <b>8.38</b>  |
| <b>Chemical Release</b>            | 1.33                | 2.50                                | 2.67                | <b>8.01</b>  |
| <b>Building Collapse</b>           | 1.25                | 2.25                                | 2.92                | <b>7.82</b>  |
| <b>Natural Gas Leak</b>            | 1.67                | 2.42                                | 2.17                | <b>6.92</b>  |
| <b>Tsunami</b>                     | 1.33                | 2.33                                | 2.17                | <b>6.39</b>  |
| <b>Zombie Apocalypse</b>           | 1.33                | 1.5                                 | 3.17                | <b>6.09</b>  |
| <b>Landslide</b>                   | 1.83                | 1.92                                | 1.83                | <b>5.34</b>  |
| <b>Avalanche</b>                   | 1.5                 | 1.42                                | 1.33                | <b>3.39</b>  |
| <b>Dam Failure</b>                 | 1.08                | 1.25                                | 1.33                | <b>2.74</b>  |

VERSION 3/11/2013

**ANNEX C**

CONTINUITY OF OPERATIONS PLAN (P&amp;P 110.02)

## ANNEX D:

**List of items suggested for inclusion in an easily portable 'Go Kits'**

- a. A first-aid kit and first-aid items, toilet paper, towlettes.
  - b. Flashlight and extra batteries, whistle, matches in waterproof container.
  - c. Prescription medications and contact lenses and solution (if used).
  - d. Non-perishable (reconstitutable) food and snacks.
  - e. Eating utensils, can opener, Leatherman-type multitool device, can opener.
  - f. Change of clothing, extra socks, hat, gloves, raincoat, thermal underwear.
  - g. Personal hygiene items, sunscreen.
  - h. blanket.
  - i. drinking water.
  - j. portable radio (hand-powered) with NOAA weather, AM and FM.
  - k. plastic garbage bag, zip-lock type plastic bags.
  - l. thumb drive or portable media with with a copy of COOP and all attachments; contact lists; essential records, files, databases.
  - m. pens, pencil, notepad.
  - n. electronic communication devices and chargers (wall and vehicle); solar or hand-operated power charger.
  - o. Telephone contact list (laminated)
  - p. sturdy shoes or work shoes.
  - q. reading glasses, sunglasses.
  - r. pliers, duct tape, small scissors.
  - s. extra set of keys
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FORM B: **Emergency Response Group**

| Member                                 | Employment Location | Contact Information | Location of COOP Binder, Go-Kit |
|--|---------------------|---------------------|---------------------------------|
| Deputy Commissioner/<br>Administration |                     |                     |                                 |
| Deputy Commissioner/<br>Operations     |                     |                     |                                 |
| Division Director/<br>Institutions     |                     |                     |                                 |
| Division Director/<br>Probation-Parole |                     |                     |                                 |
| IT Manager                             |                     |                     |                                 |
| Training Director                      |                     |                     |                                 |
|  |                     |                     |                                 |





FORM E:

# List of Critical Staff/Equipment/Key Functions

File with Emergency Response Coordinator, local copy of COOP.

| Name, Title, Employment Location | Contact Information | Key Function | Critical Equipment or Materials Needed |
|----------------------------------|---------------------|--------------|--|
|                                  |                     |              |  |
|                                  |                     |              |  |
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