



State of Minnesota Continuity of Government Plan

1APR14

PURPOSE: Provide an update briefing for the Minnesota Continuity of Government Plan development process.

COL Mike Wickman

OPR: J5



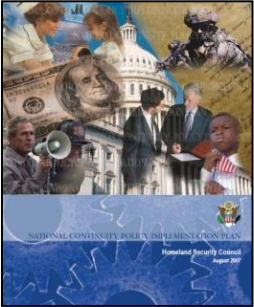
AGENDA

- 1. References**
- 2. Continuity of Government Structure**
- 3. Continuity of Government Components**
 - a. Essential Functions**
 - b. National Essential Functions**
 - c. MN State Essential Functions**
- 4. Milestones**
- 5. COG/COOP B2C2WG**
- 6. Way Ahead**
- 7. Questions and Guidance**



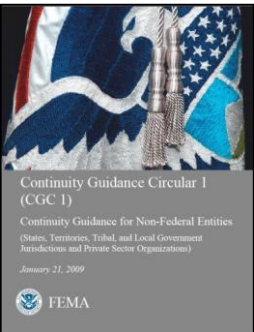
REFERENCES

National Policy Guidance



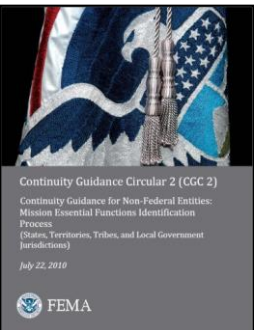
National Continuity Policy Implementation Plan, August 2007 “A coordinated effort within each branch of government to ensure that National Essential Functions continue to be performed during a catastrophic emergency”

FCD 1, *Federal Executive Branch National Continuity Program and Requirements*, October 2012



FCD 2, *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, July 2013

CGC 1, *Continuity Guidance Circular 1, Continuity Guidance for Non-Federal Entities*, July 2013

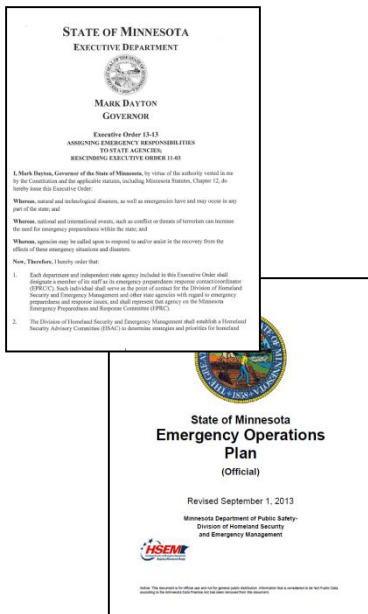


CGC 2, *Continuity Guidance Circular 2, Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process*, October 2013

REFERENCES

State Requirements

Governor's Executive Order 13-13, *Assigning Emergency Responsibilities to State Agencies* (26 NOV 2013).



Minnesota Statute 1.26 ENEMY ATTACK, TEMPORARY RELOCATION OF SEATS OF GOVERNMENT. Subdivision 2. State Government.

Minnesota Emergency Operations Plan (MEOP),
Revision: (September 1, 2013)

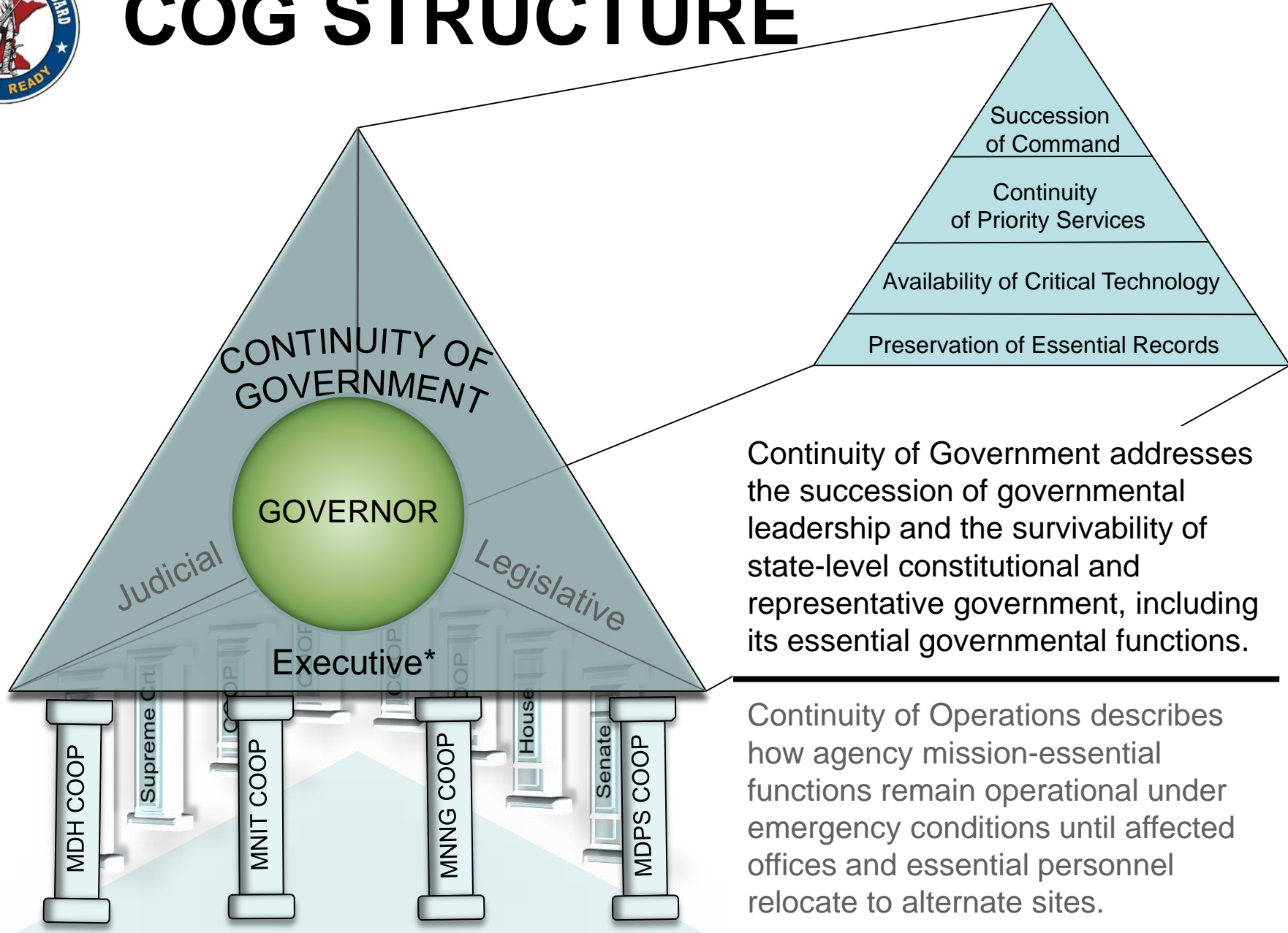


CONTINUITY OF GOVERNMENT (COG)

“A coordinated effort within each branch of government to ensure that National Essential Functions continue to be performed during a catastrophic emergency” (National Continuity Policy Implementation Plan, August 2007)



COG STRUCTURE



Continuity of Government addresses the succession of governmental leadership and the survivability of state-level constitutional and representative government, including its essential governmental functions.

Continuity of Operations describes how agency mission-essential functions remain operational under emergency conditions until affected offices and essential personnel relocate to alternate sites.

* Denotes prior coordination with IA partners



ESSENTIAL COMPONENTS

(1 of 3)

1. **ESSENTIAL FUNCTIONS.** The identification and prioritization of essential functions is a prerequisite for continuity planning, because they establish the planning parameters that drive an organization's efforts in all other planning and preparedness areas.
2. **ORDERS OF SUCCESSION.** Non-federal entities are responsible for establishing, promulgating, and maintaining orders of succession to key positions.
3. **DELEGATIONS OF AUTHORITY.** To ensure a rapid response to any emergency requiring the implementation of its continuity plan, an organization should delegate authorities for making policy determinations and other decisions, at the field, satellite, and other organizational levels, as appropriate.
4. **CONTINUITY FACILITIES.** As part of their continuity planning, all non-federal entities should identify continuity facilities; alternate uses for existing facilities; and, as appropriate, virtual office options including telework.



ESSENTIAL COMPONENTS

(2 of 3)

5. **CONTINUITY COMMUNICATIONS.** The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key leadership personnel, internal organization elements, federal and other non-federal entities, critical customers, and the public, during crisis and disaster conditions.

6. **VITAL RECORDS MANAGEMENT.** Another critical element of a viable continuity plan and program includes the identification, protection, and availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity situation.

7. **HUMAN CAPITAL.** During a continuity event, emergency employees and other special categories of employees will be activated by an organization to perform assigned response duties. One of these categories is continuity personnel, referred to as the Emergency Relocation Group (ERG) members.



ESSENTIAL COMPONENTS

(3 of 3)

8. **TEST, TRAINING, AND EXERCISE (TT&E) PROGRAM.** An effective TT&E program is necessary to assist organizations to prepare and validate their organization's continuity capabilities and program to perform essential functions during any emergency.

9. **DEVOLUTION OF CONTROL AND DIRECTION.** Devolution is the capability to transfer statutory authority and responsibility for essential functions from an organization's primary operating staff and facilities to other organization employees and facilities, and to sustain that operational capability for an extended period.

10. **RECONSTITUTION OPERATIONS.** Reconstitution is the process by which surviving and/or replacement organization personnel resume normal operations from the original or replacement primary operating facility. Reconstitution embodies the ability of an organization to recover from an event that disrupts normal operations and consolidates the necessary resources so that the organization can resume its operations as a fully functional entity.



ESSENTIAL FUNCTIONS

(1 of 5)



The Federal executive branch prioritizes the following three categories of essential functions:

National Essential Functions (NEFs)

COG The eight functions the President and national leadership will focus on to lead and sustain the Nation during a catastrophic emergency.

Mission Essential Functions (MEFs)

The limited set of department and agency-level government functions that must be continued after a disruption of normal activities.

COOP

Primary Mission Essential Functions (PMEFs)

A subset of department and agency MEFs that directly support the NEFs.



ESSENTIAL FUNCTIONS

(2 of 5)

Eight National Essential Functions (NEFs)

- 1: Ensuring Constitutional Government
- 2: Providing visible leadership
- 3: Defending the Constitution against all enemies
- 4: Maintaining relationships with foreign nations
- 5: Bringing to justice perpetrators of crimes
- 6: Providing rapid and effective incident response
- 7: Protecting and stabilizing the Nation's economy
- 8: Providing for critical Federal Government services



MN-ESSENTIAL FUNCTIONS

(3 of 5)

- 1. Maintain Continuity of Government.** Ensure the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management operations; situational awareness and personnel accountability. Each branch of government will identify the various subordinate mission essential functions necessary to accomplish this overarching mission. [e.g. MMB identifies and maintains off site location for the seat of government.](#)
- 2. Provide Visible Leadership.** A visible demonstration of leaders effectively dealing with the crisis and leading response efforts enhances public confidence in established government organizations. [e.g. DPS \(OoC\) maintains a plan to ensure constant communication using various media.](#)
- 3. Provide trained and ready military forces to support federal, state and community missions.** The Soldiers and Airmen of the Minnesota National Guard (MNNG) must understand the National Response Framework (NRF) and be fully prepared to provide support to civil authorities. [e.g. MNNG provides support when local and state resources are overwhelmed or in need of additional capability.](#)



MN-ESSENTIAL FUNCTIONS

(4 of 5)

4. Maintain Effective Relationships with Neighbors and Partners. Maintain external relationships and agreements with critical partners and organizations. e.g. the Federal Government; other State, territorial and tribal governments, private sector and non-profit organizations; and may include foreign governments and organizations in some cases.

5. Maintain Law and Order. Maintain civil order and public safety (protecting people and property, and the rule of law); ensuring basic civil rights, preventing crime, and protecting critical infrastructure. e.g. MNNG provides support to local law enforcement during NSSE. Judicial branch continues to arbitrate and adjudicate cases.

6. Provide Emergency Services. Provide critical emergency services, including emergency management, police, fire, ambulance, medical, search and rescue, hazmat, shelters, emergency food services, recovery operations, etc. e.g. HSEM coordinates with local NGOs to provide mass sheltering



MN-ESSENTIAL FUNCTIONS

(5 of 5)

7. Maintain Economic Stability. Manage the overall economy of the State government. While the Federal government is responsible for protecting and stabilizing the National economy and regulating the currency, State, territorial, and tribal governments have a responsibility to manage their jurisdiction's finances and ensure solvency. During a crisis affecting the economy, maintaining confidence in economic and financial institutions is critical at every level of government. [e.g. executive and legislative branches continue to pass appropriations and bonding bills.](#)

8. Provide Basic Essential Services. Ensure provision of basic services, including water, power, healthcare, communications, transportation services, sanitation services, environmental protection, commerce, etc. These are services that must continue or be restored quickly to provide for basic needs. Other services may be delayed or deferred at the discretion of the State government; the focus is on providing those critical services necessary to sustain the population and facilitate the return to normalcy. [e.g. MDH supports medical surge during time of crisis.](#)



COG/COOP B2C2WG

Advisory Group:

- DPS
- MNIT
- MMB
- ADM
- DHS

Work Group:

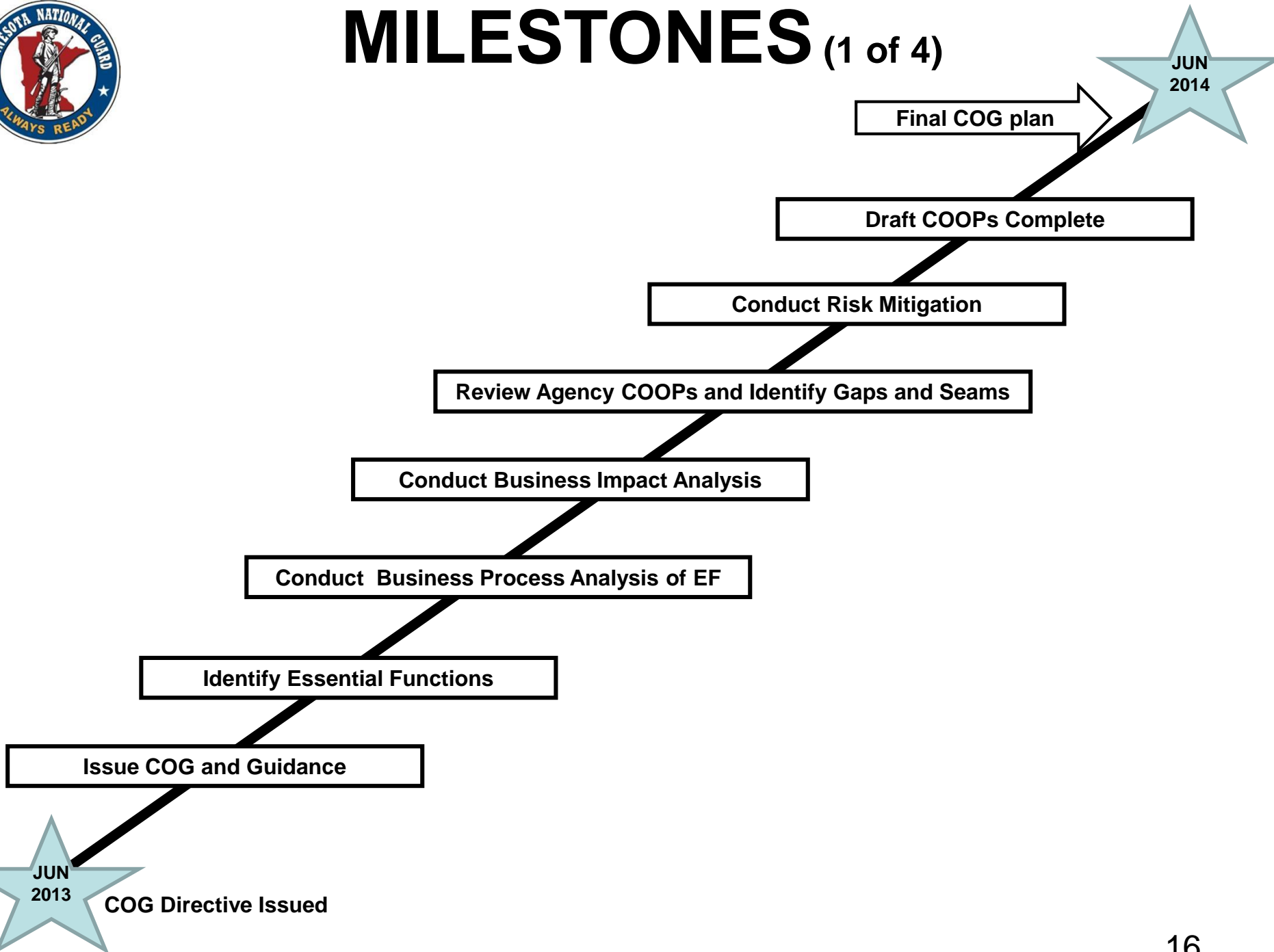
- MMB
- HSEM
- ADM
- DOT
- MNIT
- Judicial

Operational Planning/Exercise Team:

- Executive Branch
 - DPS (x5)
 - MNIT (x5)
 - MMB (x9)
 - ADM (x7)
 - DHS (X2)
 - DOT (X8)
- Legislative Branch (x3)
- Judicial Branch (X2)



MILESTONES (1 of 4)

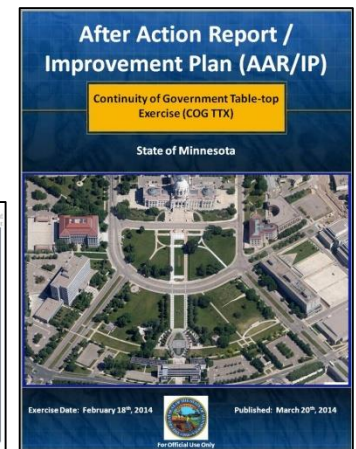
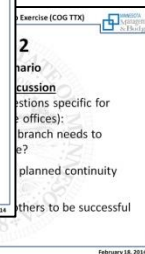
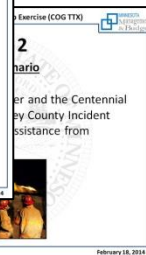
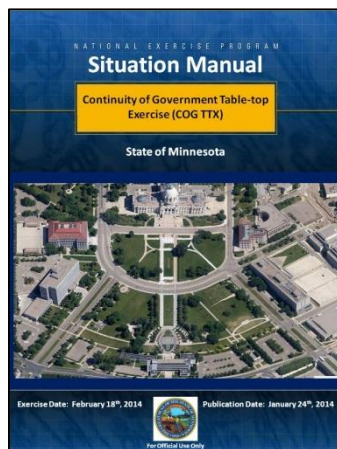




MILESTONES (2 of 4)

COG TTX #1, 18 FEB 2014

- Exercise planning initiated mid-October, 2013
- Situation Manual and presentation – 08 FEB 14
- Included discussion of State Essential Functions (SEFs)
- After Action Report/Improvement Plan (AAR/IP) 20 MAR 14





MILESTONES (3 of 4)

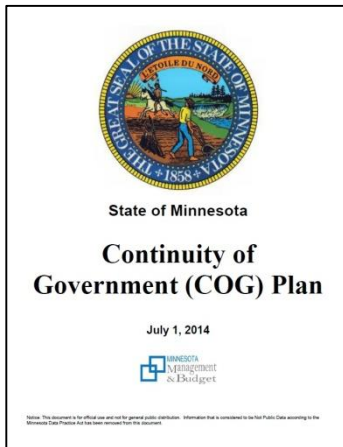
COG TTX #2 EXPECTATIONS

- Focus on opportunities identified in COG TTX #1
 - Highlight importance of integrated planning
 - Identification of interdependencies
 - Improve inter-branch and interdepartmental coordination
- Continue to stress unified approach and common language

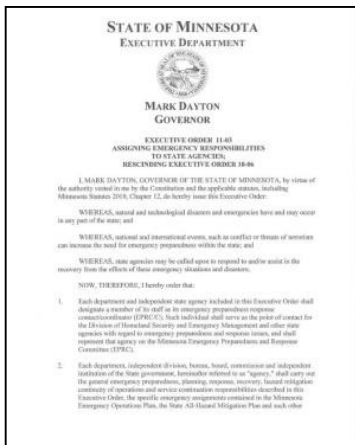


MILESTONES (4 of 4)

FINAL PRODUCTS



- Continuity of Government Plan
 - Signed by all three branches



- Governor's Executive Order for Executive Branch Implementation (if needed)



WAY AHEAD

**January
2014**

- **Finish meeting with Critical COG support Agencies**
- **Conduct Seminar & Table Top Exercise with Critical COG support Agencies**

February

- **Agencies research, review interdependencies**
- **Agencies revise COOP based on TTX1**
- **Agencies to provide internal education and training on COOP vs. COG roles**

March

- **Agencies participate in education and training workshops on COG Plan**

April

- **Participate in rehearsal exercise of COG Plan components**
- **COG / COOP TTX2**

May

- **COG Plan completed**
- **Participate in tabletop exercise of full COG Plan**
- **Participate in ongoing plan maintenance and exercises of COG Plan**



QUESTIONS



TAG GUIDANCE