

Minnesota Management & Budget

# STATE AGENCY GUIDE FOR SERVICE DISRUPTION EVENTS AFFECTING EMPLOYEES

## **I. PURPOSE OF GUIDE**

The State of Minnesota is subject to major disasters and emergencies that can pose a threat to public safety and/or health of our state employees. The four general types of such events are:

1. Natural disasters
2. Technological hazards
3. Civil Emergencies, and
4. National Security Events

Specific hazards include, floods, tornadoes, blizzards, releases of hazardous materials, high level radioactive waste transportation accidents, emergency levee/dam failures, pipeline leaks, explosions, terrorism, critical infrastructure failures, forest fires, public health threats, and civil disturbances.

An emergency plan and procedure manual is needed to enable government to continue to operate and to alert the affected state agency and its employees to take the appropriate action, based on the situation.

Administrative Procedure 5.4 specifies that the Commissioner of Minnesota Management & Budget has the authority to declare an emergency situation, close agencies, and authorize payment to employees who do not report to work or are sent home from work after the emergency has been declared. The Commissioner may authorize certain essential staffing requirements to be maintained during emergency situations. However, agencies have the authority to close an office, send employees home, activate their continuity plans, and/or continue to operate at alternate facilities if the situation warrants the decisions.

This document will outline strategies agencies should consider when responding to an emergency event within their agency or facility that affects their employees.

### Decision Matrix for Continuity Plan Implementation

	<b>Business Hours</b>	<b>Non-Business Hours</b>
<i>Event With Warning</i>	<ul style="list-style-type: none"> <li>• Assess situation and impact on personnel, facility, and priority services.</li> <li>• Determine the status of the office/facility for continued access/use.</li> <li>• Implement Continuity Plan if impact on personnel, facility, and/or delivery of priority services is compromised.</li> <li>• <b>Notify Director, Enterprise Continuity at MMB of event.</b></li> </ul>	<ul style="list-style-type: none"> <li>• Gather information and assess the situation.</li> <li>• Determine the impact of the event on the office/ facility for continued access/use.</li> <li>• Assess the impact on personnel and the delivery of priority services.</li> <li>• Implement Continuity Plan if impact on personnel, facility, and/or delivery of priority services is compromised</li> <li>• <b>Contact the Duty Officer with status information of event.</b></li> </ul>
<i>Event Without Warning</i>	<ul style="list-style-type: none"> <li>• Assess situation and impact on personnel, facility, and priority services.</li> <li>• Determine the status of the office/facility for continued access/use.</li> <li>• Implement Continuity Plan if impact on personnel, facility, and/or delivery of priority services is compromised.</li> <li>• <b>Notify Director, Enterprise Continuity at MMB of event.</b></li> </ul>	<ul style="list-style-type: none"> <li>• Gather information and assess the situation.</li> <li>• Determine the impact of the event on the office/ facility for continued access/use.</li> <li>• Assess the impact on personnel and the delivery of priority services.</li> <li>• Implement Continuity Plan if impact on personnel, facility, and/or delivery of priority services is compromised.</li> <li>• <b>Contact the Duty Officer with status information of event.</b></li> </ul>

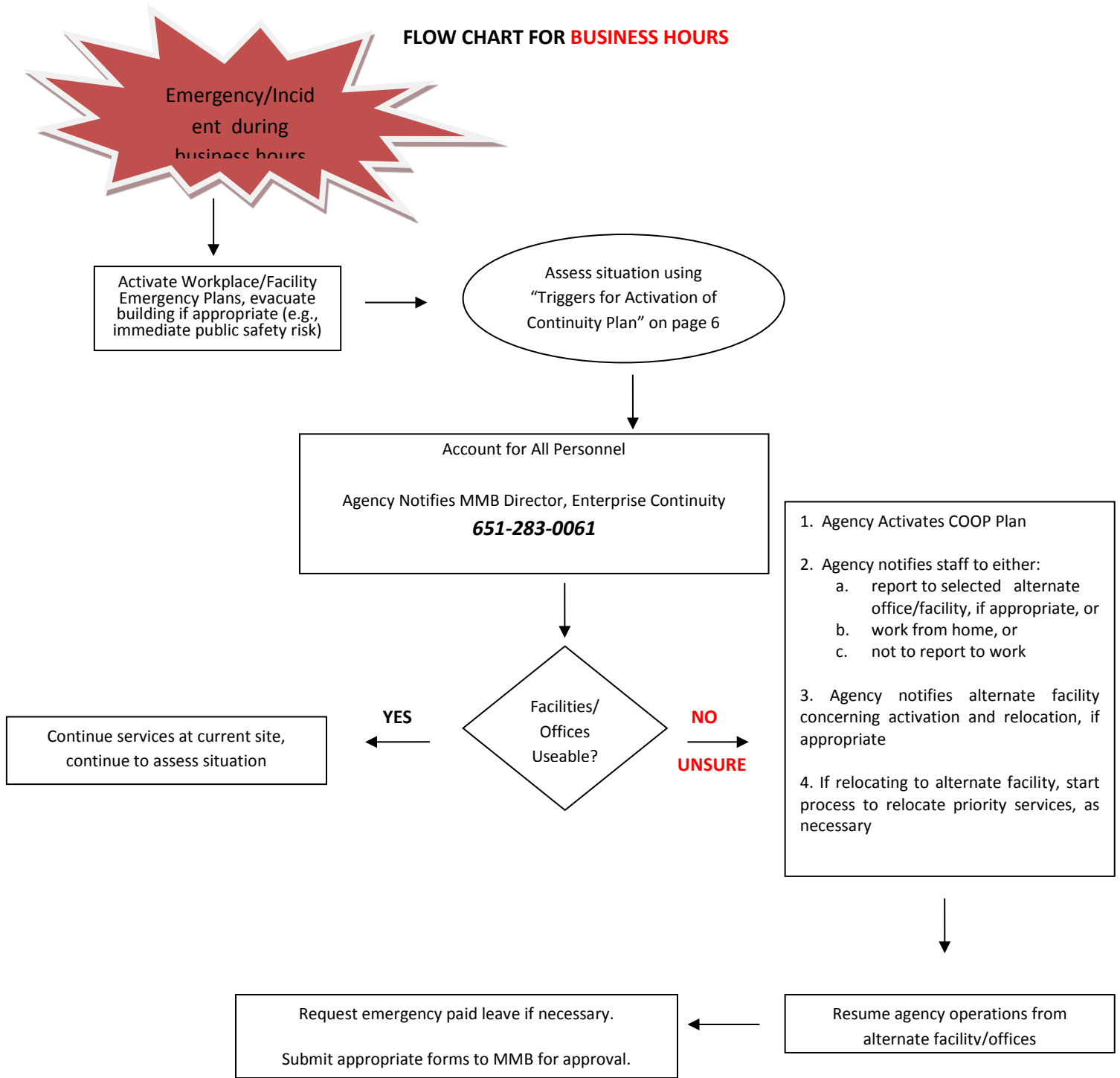
Depending upon the situation, activation tasks and actions during **business hours** may include:

- Activate occupant emergency plans, if applicable.
- Assess the impact on the facility/staff offices and personnel.
- Notify MMB if the facility/staff offices are deemed unusable and priority services cannot be supported at the existing facility/office.
- Redeployment of staff to an available secondary continuity facility, or authorization of appropriate personnel to work via remote access from home office.
- Notification of all Division Personnel of the activation of the continuity plan and providing additional guidance.
- Taking appropriate measures to ensure security of the facilities and equipment or records remaining in the vacated building.

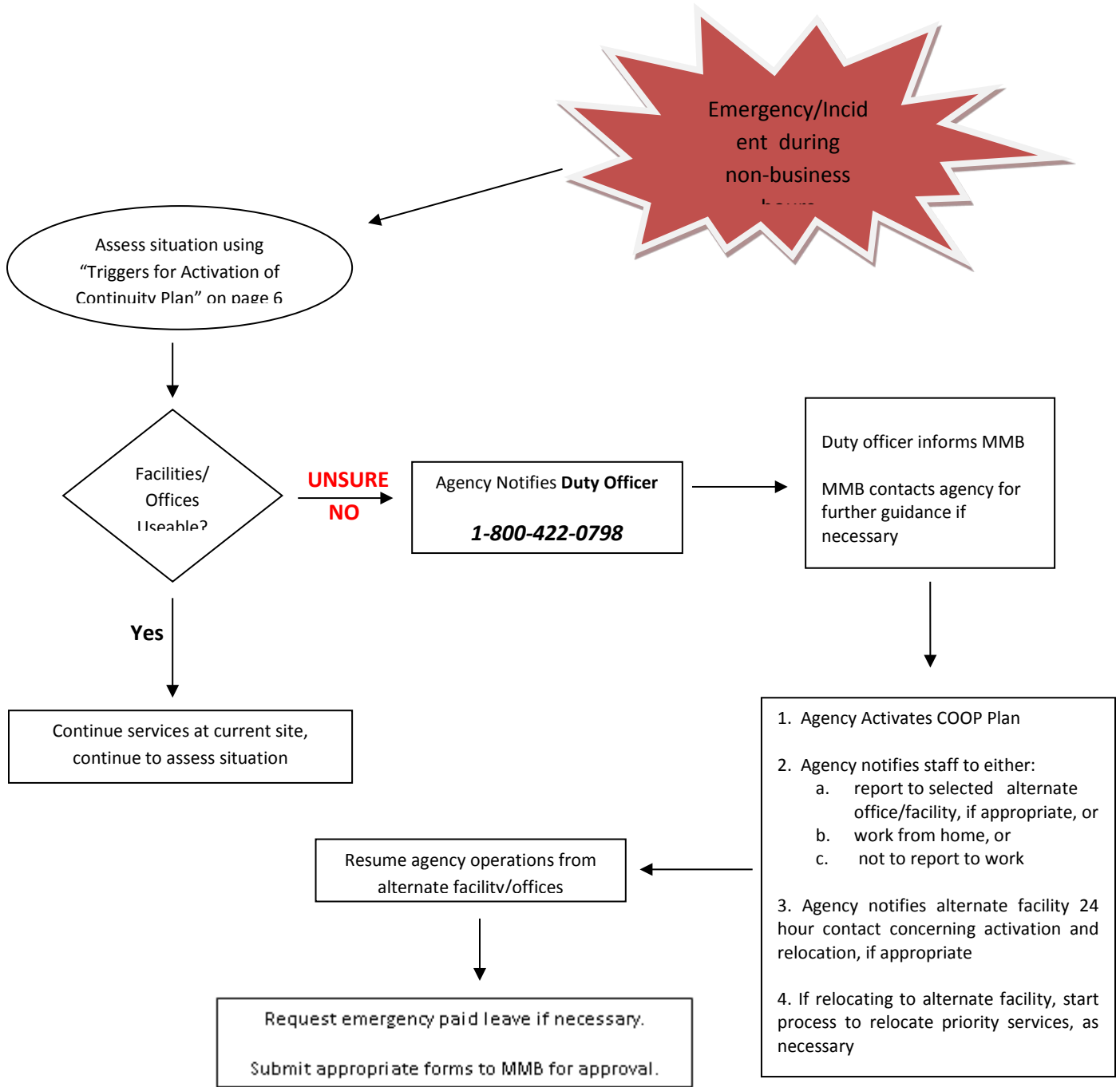
Depending upon the situation, activation tasks and actions during **non-business hours** may include:

- Notification to the Minnesota Duty Officer that an emergency requiring COOP activation is anticipated or underway.
- An assessment of impacts on the facility, staff offices, personnel and the ability to continue performing priority services.
- If the situation is confirmed or area is considered unusable or damaged, activate the COOP plan.
- If the facility and/or offices are deemed unusable, Minnesota Duty Officer is notified.
- Notification of employees to either report to work at the continuity facility/office or remote access from home office.

**FLOW CHART FOR BUSINESS HOURS**



**FLOW CHART FOR NON-BUSINESS HOURS**



## TRIGGERS FOR ACTIVATION OF CONTINUITY PLANS

<i><b>EVENT</b></i>	<i><b>TRIGGER</b></i>	<i><b>CONSIDERATIONS</b></i>	<i><b>TIME FRAME FOR ACTION</b></i>
<b>Facility Access/availability</b> <b>Facility evacuation</b> <b>Facility condition</b> <b>Re-entry time</b>	Immediate threat to safety of employees Public Safety requirement Command Team decision	Is this an immediate life- safety issue? Why does facility need to be evacuated? Does entire facility need to be evacuated? Is building accessible to anyone? What services will be impacted? How long until re-entry? What services can continue to operate elsewhere? Who do we need to notify?	Immediate action
<b>Physical Damage</b> <b>Fire</b> <b>Water</b> <b>Loss of electrical service</b> <b>Loss of telephone service</b> <b>Loss of air quality (AC/Heat)</b>	Danger to life or health, smoke damage, loss of access System failure, no potable water, no toilet facilities When Uninterrupted Power Supply (UPS) and generator run out Customers cannot call in, employees cannot call out Staff inability to work, health risk, system failure	Is this an immediate life- safety issue? Does facility need to be evacuated? Does entire facility need to be evacuated? Is building accessible to anyone? What services will be impacted? If evacuated, how long until re-entry? How long until resumption of utilities? What services can continue to operate elsewhere? Who do we need to notify?	Immediate action if life-safety threat  Assess, take action within 4 hours or directed by Public Safety Official
<b>Loss of:</b> <b>Key People</b> <b>Large amount of personnel</b>	Loss off : (list position and person) Cannot contact Command Team members in emergency Cannot be handled by Human Resources staff Delivery of Priority Services being jeopardized When directed by MMB to assist another agency with personnel	How long will people be gone? What is our Line of Succession? Who can make decisions? What services are impacted? Why did we lose key or large amounts of people? Do we need additional assistance? Who do we need to notify?	Assess, take action within 2 hours  Take action when directed by MMB if assistance to another agency needed
<b>Loss/damage to computer systems</b> <b>Internal systems</b> <b>External systems</b> <b>Computer virus</b>	Loss of system availability, integrity, control Loss of system availability, integrity control IT department observation, decision	How long will the system be down? What services are impacted? Who do we need to notify?	Assess, take action within 4 hours, or directed by IT personnel

## State Agency Emergency Event Questionnaire

Name of Agency: \_\_\_\_\_ Date: \_\_\_\_\_

Agency Contact Name and Phone Number: \_\_\_\_\_

Agency/Facility Affected: \_\_\_\_\_ County: \_\_\_\_\_ Time: \_\_\_\_\_

**1. Is situation immediate life threatening to employees?**

YES

NO

**2. Is the situation weather related?**

YES

NO

**3. Was the situation anticipated?**

YES

NO

**4. Is the building accessible?**

YES

NO

**5. Is building habitable?**

YES

NO

**6. Are there environmental issues?**

Odors present? If so, what type?

Has the proper local authority (fire, law enforcement, utility, etc) been called?

No heat/No AC How long is this expected to be out?

No power How long is this expected to be out?

Other? List \_\_\_\_\_

**7. How many employees are impacted by this event?**

**8. Has anything been done to remedy the situation?**

**9. Does the agency need any outside assistance to continue operations?**

## Minnesota Duty Officer State Agency Emergency Event Questionnaire

Name of Agency: \_\_\_\_\_ Date: \_\_\_\_\_

Agency Contact Name and Phone Number: \_\_\_\_\_

Agency/Facility Affected: \_\_\_\_\_ County: \_\_\_\_\_ Time: \_\_\_\_\_

**1. Is situation immediate life threatening to employees?**

YES—direct agency to evacuate building and call 9-1-1. Duty Officer to contact MMB immediately.

**2. Is the situation weather related?**

YES—gather information on situation. DO to contact MMB after collecting pertinent information.

NO—gather further information on situation. DO to contact MMB after collecting pertinent information.

**3. Was the situation anticipated?**

YES- if agency needs outside assistance, DO to contact MMB after collecting pertinent information.

NO--gather further information on situation. DO to contact MMB.

**4. Is the building accessible?**

NO- DO to contact MMB immediately.

**5. Is building habitable?**

NO- DO to contact MMB immediately.

**6. Are there environmental issues?**

Odors present? If so, what type?

Has the proper local authority (fire, law enforcement, utility, etc) been called?

No heat/No AC How long is this expected to be out?

No power How long is this expected to be out?

Other? List \_\_\_\_\_

**7. How many employees are impacted by this event?**

**8. Has anything been done to remedy the situation?**

**9. Does the agency need any outside assistance to continue operations?**



**State Agency Emergency Paid Leave Request Form**

Agency Name: \_\_\_\_\_ Name of person completing Form: \_\_\_\_\_

Phone number: \_\_\_\_\_ email: \_\_\_\_\_ Date: \_\_\_\_\_

Date of Event/Emergency: \_\_\_\_\_ Duration of Event/Emergency: \_\_\_\_\_

Type of Event/Emergency: \_\_\_ Weather related \_\_\_ Non-Weather related

Location/Address of Emergency: \_\_\_\_\_ # of Employee Affected: \_\_\_\_\_

Bargaining Unit of Employees affected: (please list): \_\_\_\_\_

Explain event/emergency: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Other comments: \_\_\_\_\_

\_\_\_\_\_

<b>MMB USE ONLY:</b>	
Reviewed By: _____	Date of Review: _____
Approved _____	Denied _____ Special Comments: _____

***CONTACT LIST***

**BUSINESS HOURS**

**Cathy Hockert, MMB Director, Enterprise Continuity**  
[Cathy.hockert@state.mn.us](mailto:Cathy.hockert@state.mn.us)

**651-283-0061 (cell)—call first**  
**651-259-3746 (office)**

**Janelle Tummel, Assistant Commissioner**  
[Janelle.Tummel@state.mn.us](mailto:Janelle.Tummel@state.mn.us)

**651-259-3742 (office)**

**NON-BUSINESS HOURS**

**Minnesota State DUTY OFFICER:**

**1-800-422-0798 or**  
**651-649-5451**