



## County of Santa Clara, Office of Emergency Services

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Continuity of Operations and Continuity of Government – COOP/COG Guidance

### COUNTY OF SANTA CLARA CONTINUITY OF OPERATIONS/CONTINUITY OF GOVERNMENT PLANNING PROGRAM DESCRIPTION

#### INTRODUCTION

The County of Santa Clara Continuity of Operations/Continuity of Government Planning Program was developed with the goal of providing the County government with the resources needed to achieve a COOP/COG capability. This program is based upon the federal COOP model, as presented in the Federal Preparedness Circular #65, the Department of Homeland Security's COOP documents, and the State of California's Standardized Emergency Management System.

#### COOP/COG PLANNING

Continuity of Operations (COOP) and Continuity of Government (COG) planning ensure the continuation of essential functions through a wide range of emergencies and disasters. Today's changing threat environment and recent natural and man-made emergencies demonstrate the need for COOP/COG capabilities and plans at the local, state, and federal levels.

COOP and COG are defined as follows:

- Continuity of Operations – an effort within departments and agencies to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. Essentially, it is the capability of maintaining the business of government under all eventualities. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternative facilities. Personnel, resources, interoperable communications, and vital records/databases.
- Continuity of Government – the preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization's constitutional responsibilities. This accomplished through succession of leadership, the pre-delegation of emergency authority and active command and control.

The following eleven planning elements of COOP and COG form the structure of the planning program:

1. Emergency concepts, actions, and procedures provided in emergency plans and emergency action plans.
2. Identification and prioritization of essential functions.
3. Line of succession to essential positions required during an emergency
4. Delegation of authority and pre-delegation of emergency authorities to key officials.



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5. Emergency operations centers, alternate facilities, and alternate emergency operations centers.
6. Interoperable communications.
7. Protection of government resources.
8. Safeguarding of vital records and databases.
9. Test, training, and exercises.
10. Devolution of control and direction.
11. Reconstitution operations.

For more information on COOP/COG, please see the discussion paper entitled, “COOP and COG – A Consolidated Approach.”

#### **COOP/COG PLANNING PROGRAM**

The Santa Clara County Office of Emergency Services created the COOP/COG Planning Program to provide all County organizations with the necessary planning resources to create their own COOP/COG plans. Application of the steps proposed in this program will result in a baseline plan that can be refined and enhanced over time.

The COOP/COG Planning Program is comprised of the following components:

<b>Component</b>		<b>Format</b>
1.	Planning Program Description (this document)	PDF
2.	Plan Template and Guidance	Word
3.	Set of Planning Worksheets	Word
		Excel
4.	Facilitator’s Guide	PDF
5.	Series of (4) Participant Workshop Guides	PDF
6.	Series of (4) Planning Workshop Presentations	PPT
7.	Discussion Papers	PDF
8.	Plan Review and Certification Checklist	Fill in Form

Though some organizations will use the information provided in the program materials to update and enhance existing plans, those departments starting from the very beginning of the planning progress will have everything they need to begin gathering data and constructing their plan. The various program components outline and present the COOP/COG planning process.



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#### PLAN DEVELOPMENT PROCESS

The COOP/COG planning program is organized into four phases. Each phase involves a workshop as a means to introduce and coordinate the efforts required in that particular phase of the plan development process. The workshops are designed to systematically lead the planner or planning team through data collection and analysis to provide an initial continuity plan. The workshop titles are:

- **Workshop I** – COOP/COG Project and Program Management
- **Workshop II** – Identifying Essential Functions & Operations Vulnerabilities
- **Workshop III** – Resumption Strategies
- **Workshop IV** – Command and Control and Constructing the COOP/COG Plan

The series of accompanying worksheets provide agencies with a helpful tool for gathering, categorizing, and organizing critical data used in building the COOP/COG Plan. The worksheets titles are:

Worksheet Title	
1	Essential Functions
1a	Supplement to Worksheet 1 – Essential Functions Process Details
2	Essential Functions Questionnaire
3	Resource Requirements for Essential Functions
4	Specific Threat Impact Assessment
5	Preliminary Vulnerability Assessment
6	Resumption Strategies
7	Minimum Facility Requirements
8	Alternate Worksite Options
9	Interoperable Communications Systems
10	Key Personnel
11	Vital Records and Databases
12	Mission Critical Systems and Equipment
13	Vendors & Supporting Agencies
14	Key Positions & Lines of Succession
15	Delegations of Authority
16	Critical Activity Resumption Procedures

These worksheets are tools and as such should be applied as needed. Depending on how far the organization has progressed in previous planning efforts, some of these worksheets may be redundant or unnecessary. The worksheets are presented in a logical order assuming that an organization has not undertaken previous COOP/COG planning efforts. Organizations that have undergone previous data collection activities may choose to use a subset of these worksheets (or none at all) depending on their planning needs.



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In addition to the workshops and worksheets, a COOP/COG template has been provided in the program materials. It closely follows the federal and state model. The template includes additional instructions on the information that should be included in a COOP/COG plan and a suggested structure for the document.

#### **ANTICIPATED COOP/COG PLANNING OUTCOME**

The outcome of this process will be the development of a baseline COOP/COG capability that should be refined and enhanced over time. The primary initial focus should be on developing a basic capability for each of the (11) eleven elements of COOP/COG. The basic capability will be followed by the development of a strategy to increase and build more specificity and sophistication into the plan. This ongoing development strategy should be described and outlined in a multi-year strategy and program management plan.

#### **COOP/COG PLAN CERTIFICATION**

The planning resources and tools included in this program can be used whether an organization is starting from the very beginning of the planning process or merely updating plans already in place. However, all COOP/COG plans will need to be reviewed by OES to ensure compliance with the established County COOP/COG standard.

In order to ensure that a baseline of capability has been achieved for all (11) eleven of the consolidated elements of COOP/COG, a Plan Review Checklist and Completion Certification form has been included in the program materials. When submitting completed COOP/COG Plans to OES this checklist must be included to certify that the County COOP/COG standard has been met.

#### **ADDITIONAL COOP/COG RESOURCES**

In addition to the COOP/COG resources mentioned above, CSTI and FEMA offer online COOP/COG training. Additionally, in-person assistance can be scheduled via the COOP Planning Support Site.

If there are questions about the materials provided in the COOP/COG planning program please contact Santa Clara County OES at 408-808-7800 -OR- to schedule in-person assistance with an OES staff member, please visit the Santa Clara County COOP Planning Support Site at <https://www.sccgov.org/sites/oes/sccoopupdate20162017/Pages/home.aspx>.