



2017

Continuity of Operations/ Continuity of Government (COOP/COG) Planning Template and Guidance

OFFICE OF EMERGENCY SERVICES
COUNTY OF SANTA CLARA AND SANTA CLARA COUNTY FIRE
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GUIDE INSTRUCTIONS

This guide can be used as the basic foundation for Continuity of Operations/Continuity of Government (COOP/COG) Plans for the County of Santa Clara. Organizations are encouraged to develop their COOP/COG Plan to meet their needs and requirements. Organizations should include any additional elements that are essential to understanding and implementing their COOP/COG Plan. The result will be a baseline plan that can be refined and enhanced over time.

COOP/COG PLANNING

The changing threat paradigm and recent emergencies, including localized acts of nature, major accidents, technological emergencies, public health events, and security-related incidents have all contributed to shifted awareness to the need for viable Continuity of Operations (COOP) and Continuity of Government (COG) capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies in support of an enduring constitutional government. COOP/COG planning is simply a “good business practice” – part of the fundamental mission of all County agencies as responsible and reliable public institutions. Though the COOP and COG concepts share similarities, they are distinct in their particular emphasis:

- **Continuity of Operations Planning**
An effort within individual 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 provision for alternative facilities, personnel, resources, interoperable communications, and vital records/databases.
- **Continuity of Government Planning**
The preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization’s constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority and active command and control.

This guidance provides instructions for all Santa Clara County Departments, Organizations, and Agencies for the development and implementation of COOP/COG plans in accordance with State and Federal guidance.



A NOTE REGARDING PLAN DESIGN

A COOP/COG Plan is comprised of a number of component parts and should meet the needs of the various users of the plan and their roles in the overall COOP/COG program. In its entirety, a COOP/COG Plan should address not only high-level information about how an organization is supposed to respond to different types of disruptions, but also the operational detail necessary to overcome these disruptions.

Given the potential sensitivity of some information contained within COOP/COG Plans – or associated supporting documents – the distribution of the plan should be assessed and appropriate security measures implemented. COOP/COG Plans and associated supporting documents may require the ability to control and limit their distribution.



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COOP/COG PLAN APPROVALS

By their signatures below, the following senior level officials certify that they approve this Continuity of Operations/Continuity of Government (COOP/COG) and fully understand the continuity of business operation procedures that are to be followed in the event of an emergency that impacts the facilities and employees for which they are responsible.

Approved: _____ Date _____
 [Name/Title]



I. EXECUTIVE SUMMARY

The executive summary should provide a 1-2 page overview of the overall COOP/COG Program, including policies, plans, processes, materials, and activities that support the organization’s COOP/COG capability. It should briefly outline the organization and content of the COOP/COG Plan and describe what it is, whom it affects, and the circumstances under which it should be executed. Further, it should briefly discuss the key elements of COOP/COG Planning and explain the organization’s implementation strategies.

II. INTRODUCTION

The introduction to the COOP/COG Plan should explain the importance of COOP/COG Planning to the organization. COOP/COG Plans address incidents that disrupt normal operations. They are needed to address exceptional and adverse operating conditions. The introduction should include typical adverse conditions anticipated to be covered by the COOP/COG Plan.

The introduction should also discuss the background behind continuity planning and may reference recent events that have led to the increased emphasis on the importance of a COOP/COG capability for the organization. It should explain the intended use of the document and the plan’s architecture (i.e., how the COOP/COG Plan is organized and where information is housed. Remember, the COOP/COG Plan may consist of elements of other plans, such as emergency relocation plans, that physically reside external to this document and may be incorporated by reference.

III. PURPOSE & ASSUMPTIONS

A. Purpose

The purpose section should briefly discuss applicable Federal and State guidance, affirm the organization’s commitment to COOP/COG planning, and explain the overall purpose of COOP/COG planning, which is to ensure the continuity of mission essential functions. Because of today’s changing threat environment, this section should state that the COOP/COG Plan is designed to address all hazards. Again, the emphasis here should be that COOP/COG Plans address circumstances when normal, standard operations become overwhelmed.

The purpose section should also explain that the plan identifies resumption strategies only for essential functions. Although there may be other important functions, this plan only covers those that are mission and time critical. As defined by FEMA, an essential function is a function enables an organization to:

- Provide vital or “mission critical” services;
- Exercise civil authority;
- Maintain the safety of the general public; or



- Sustain the industrial or economic base during an emergency.

This section should also explain how the organization’s essential functions are prioritized. These priority classifications are based on resumption time objectives (RTOs). A RTO is an estimate of the maximum tolerable duration between when a disruption occurs and when the function is resumed under emergency conditions. An organization may choose different priority classifications based on their responsibilities and essential functions. The following classification system was used by CalOES to prioritize their essential functions.

- **A** – Emergency response functions (0-2 hours)
- **B** – High impact on public health or safety (up to 24 hours)
- **C** – High impact on public safety and health, or on department critical operations (up to 72 hours)
- **D** – Moderate impact on public safety, health, or critical departmental operations (1-3 weeks)
- **E** – Low impact (3 weeks of longer)

Organizations can elect to use alternate criteria to determine the resumption priorities for its essential functions. Organizations should avoid using rank-ordering priority methods during the continuity planning process, since some essential functions may be equally important to the organization and have similar RTOs. A discussion paper, *Rating and Prioritizing an Organization’s Functions for Continuity Planning*, is included in the program materials and available on the OES website. In addition, *Workshop II: Identifying Essential Functions & Operations Vulnerabilities* provides additional guidance on identifying and prioritizing essential functions.

B. Assumptions

This section should include the assumptions on which this COOP/COG is based. Each COOP/COG plan is based on a set of assumptions that, if not true, will threaten to render this plan ineffective. The test for a planning assumption is: will the plan fail, if the assumption is not true? The following is a sample set of basic assumptions:

- Emergencies, or the threat of an emergency occurring, may adversely affect the organization’s ability to continue to support essential internal operations and to provide services to clients or support external agencies.
- Personnel and other resources from the organization and other organizations outside of the area affected by the emergency, or potential emergency, will be made available if required to continue essential operations.



- Emergencies, or potential emergencies, differ in order of priority or impact.
- Whereas this COOP/COG Plan may be activated in response to a wide range of possible emergencies, the disruption scenarios employed in the development of the Plan are described on Worksheet 4: Specific Threat Impact Assessment.

The specialized requirements of each individual organization may require additional or alternate assumptions.

IV. APPLICABILITY AND SCOPE

A. Applicability

This section should describe the applicability of the Plan to the agency as a whole, as well as to specific personnel and groups within the organization. Additionally, this section should describe the role of other plans and their relationship to the organization's COOP/COG Plan. Other planning documents may include Emergency Operations Plans, Recovery Frameworks, Public Health and Safety Plans, etc. This section should distinguish the COOP/COG Plan's capabilities from other existing planning documents. Finally, this section should be used to reference existing contingency plans for the identified risks.

B. Scope

This section should include the scope and limitations of the plan. COOP/COG Plans should strive to map out the restoration of normal operations and failed facilities or equipment using a skeletal crew with access to limited resources. This section provides the focus for the planning efforts. The Plan's scope should encompass all of the organization's essential functions. The Plan must be based on the "worst case scenario", which would include the inaccessibility or unavailability of the organization's facility or building complex, and all of its contents. You should consider the divisions, business units, and essential functions covered by the COOP/COG Plan, the anticipated response time required to resume essential functions under emergency conditions, and the period of sustainment.

This section should also include the organization's specifications regarding plan performance. For example, the organization expects a response time of 24-hours for all essential functions identified in the plan, and a sustainment of 30-days for those functions. Other specifications may include that the plan addresses emergencies that occur both with or without warning, or during on-duty or off-duty hours.

Limitations that are included in this section may include scenarios that this COOP/COG planning process did not contemplate, as well as other vulnerabilities for which this process was unable to devise resumption strategies.



V. ESSENTIAL FUNCTIONS

The identification of essential functions is a prerequisite for all COOP/COG planning. It establishes the parameters that drive the organization’s continuity planning efforts. In this section, or in an annex, you should include a complete list of the organization’s prioritized essential functions.

Essential functions are those organizational functions and activities that must be continued under any and all circumstances. The list should be based on the prioritization strategy introduced in **Section III-A: Purpose**. Additionally, **Worksheet 1: Essential Functions** is the first of a series of worksheets provided as tools to help work through the COOP/COG planning process and can be used to capture this information. Also, **Worksheet2: Essential Functions Questionnaire** is an additional tool that can be used to analyze whether a function is essential.

Unless an organization’s essential functions are correctly and completely identified, its COOP/COG Plan may not effectively ensure that the most vital government services can be maintained in an emergency. For additional guidance regarding the identification and prioritization of essential functions, see the discussion paper titled **Rating & Prioritizing an Organization’s Functions for Continuity Planning** and **Workshop II: Identifying Essential Functions & Operations Vulnerabilities**.

Use the information captured in Worksheet 1 to complete Table 5-1 below:

Table 5-1. Prioritized Essential Functions for [Organization Name].

Department, Division, or Operating Unit	Essential Function	Priority (A, B, C, D, or E)

A. Risk Analysis

A risk analysis is the process of collecting and evaluating information on risks and hazards that may impact agency operations. What are the sources of risk? This list can be, literally, infinite – if one considers all the possible bad things that can occur. The challenge is to identify those risks that are pertinent in the context of the government operations under consideration. These risks can typically be categorized into three groups:

1. Natural hazards, such as: hurricanes, earthquakes, floods, public health emergencies, etc.;
2. Human-related hazards, or technological events, the consequence of negligence and/or human error in managing and/or operating our “built” environment, such



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as: electrical power failures, transportation failures, communication systems failures;

3. Pro-active human hazards, reflecting deliberate actions by individuals or groups to cause harm, such as: workplace violence, bomb threats, and civil disturbances.

In this section, the organization should identify possible risks or hazards that may threaten the continuance of essential functions. The purpose of the risk analysis is to develop a list of hazards that are of such significance that they are reasonably likely to cause devastating harm to the agency – if they are not effectively controlled.

To complete a risk analysis, the organization should:

1. List all of the threats that may potentially have an impact on the organization’s ability to deliver its essential functions. Listed in the table below, are examples of potential threats.

Natural Hazards	Technological Hazards	Human-Caused
Flood	HAZMAT Spill	Terrorism
Fire	Airplane Crash	Labor Strike
Earthquake	Power Outage	Sabotage
Hurricane	IT Failure	Contractor Dispute
Tornado	Supply-Chain Failure	Regulatory Action
Severe Weather	Communication Outage	Civil Disturbance
Public Health Emergencies		

2. Assess the consequences of each hazard based on the severity of the hazard combined with the probability of occurrence. **Worksheet 4: Specific Threat Impact Assessment** may be used to make this assessment. When assigning the probability of occurrence, planners should also consider where the event is likely to occur in the context of whether the government operations under consideration are exposed to the risks.
3. Assess whether the organization has implemented effective control measures or other procedures that mitigate the occurrence of loss or damage resulting from this event.
4. Determine if the likelihood of occurrence of the hazard is substantial enough to be included in the organization’s COOP/COG Plan. When using Worksheet 4 to complete this assessment, hazards with a score of 6 or higher are considered to cause a significant disruption to operations.



B. Vulnerability Assessment

In this section, the organization should provide a vulnerability assessment for each essential function. This assessment should identify scenarios that pose a risk to the continuity of the function. **Worksheet 5: Preliminary Vulnerability Assessment** may be used to capture this information.

In COOP/COG planning, the planning can become extremely cumbersome if specific plans were to be developed for every possible hazard type and/or emergency circumstance. The first step in preparing a vulnerability assessment is to survey or scan the environment of possible risks identified above and translate that environment into a set of risk scenarios.

For most operations, the following scenarios have proven to be sufficient.

1. Local facility disruptions, typically single buildings;
2. Region-wide disruptions affecting all or many government buildings in the region;
3. Disruption of communication system;
4. Disruption of access to vital records or databases;
5. Disruption to availability of specialized equipment or systems, including computing systems (other than traditional communications systems);
6. Loss of services from a vendor or another government agency;
7. Unavailability of personnel.

Organizations should evaluate their risk environment to determine whether the disruption scenarios listed above are sufficient to cover their full risk spectrum or if additional scenarios need to be added.

Worksheet 5: Preliminary Vulnerability Assessment is designed to capture information based upon the scenarios listed above. The first step is to estimate the consequences associated with the occurrence of a disruption scenario on an essential function. Although Worksheet 5 provides a suggested method for measuring degrees of disruption, organizations may choose the values that they wish to use.

In the second step, determine whether your organization has existing capabilities to resume the essential function, if the resource were lost for areas where a disruption may have a major or significant impact on operations. Consider formal processes that are currently in place for resumption operations. For example, ISD may have a formal process



for recovering the relevant computing system (operating platform and systems, application software, network access, etc.) at a third party vendor site. These formal processes or “standard operating procedures” should become part of the COOP/COG Plan. The existence of the capability should be noted because it enhances awareness of how resiliency of operations is assured. Those areas where existing capabilities do not exist to resume the essential function are identified as vulnerabilities.

C. Resource Requirements

Now that you have determined that your organization must continue certain essential functions during an emergency, you must begin thinking about what resources you must have to get this done – while remembering that this entire operation is taking place in the middle of an emergency or disaster scenario. These resources include:

- Facilities or Work Sites
- Communications Systems
- Key Personnel
- Vital Record and Databases
- Vital Systems and Equipment
- Key Vendors
- Supporting Government Agencies or Departments

In this section, the organization should identify the minimum resource requirements needed to support each essential function. Worksheet 3: Resource Requirements for Essential Functions may be used to capture the critical resources needed by the organization to perform its essential functions. Worksheet 3 is designed to capture the resources used by the agency in normal (non-emergency) operating conditions. After these resources have been identified, the organization can work towards ensuring that the resources have been identified, the organization can work towards ensuring that the resources are protected at all times. For those resources that cannot be adequately safeguarded, the organization must select alternate or back-up resources in order to ensure that essential functions are available at all times.

D. Function Dependencies

Many of your organization’s essential functions may rely on the availability of resources or functions controlled by another organization, including other agencies: federal, state, and/or local governments, as well as private entities. In this section, organizations should identify these dependencies and link them to the essential functions that they support.



You should identify the required Resumption Time Objective (RTO) for each of these dependencies and indicate whether the organization is satisfied with the level of support of if this dependency represents a vulnerability.

VI. AUTHORITIES AND REFERENCES

This section should reference an annex that outlines all supporting authorities and references that have assisted in the development of this COOP/COG Plan. This section should also include any federal, state, or local ordinance that allow for the designation of emergency or temporary locations for the seat of government, or the actions required to transition the affairs of local government. In addition, it should include any specific provisions that allow for the delegation of authority.

VII. CONCEPT OF OPERATIONS

This section should briefly explain how the organization will implement its COOP/COG Plan, and specifically, how it plans to address each critical COOP/COG element. This section should be separated into three phases: (1) activation and relocation, (2) alternate facility operations, and (3) reconstitution. Organizations should also develop an executive decision process that would allow for a review of the nature and extent of the emergency to determine the best course of action for response and resumption of operations. This process will preclude premature or inappropriate activation of an organization's COOP/COG Plan. Operational details necessary to implement the plan may be contained in a Concept of Operations Annex to this plan. A discussion paper titled, *Executive Command & Control Issues*, is available for further guidance.

A. Phase I: Activation and Relocation

The Phase I section should explain COOP/COG Plan activation procedures and/or relocation procedures from the primary facility to the alternate facility. This section should also address procedures and guidance for non-relocating personnel.

1. Decision Process

This section should explain the logical steps associated with implementing a COOP/COG Plan, the general incident escalation process, the circumstances under which a plan may activated (both with or without warning), and should identify who has the authority (by position) to activate the COOP/COG Plan. This process can be described here or depicted in a graphical representation.

This section should also include a brief description of the organizational structure of the response teams, including the COOP/COG Initial Assessment Team, the COOP/COG Executive Command Team, and the Essential Function Resumption Teams. The roles and responsibilities of each team should be explained in this section. See the discussion paper titled, *Executive Command & Control Issues* and **Workshop IV: Command & Control and Constructing a COOP/COG Plan** for further guidance.



2. Alert, Notification, and Implementation Process

This section should explain the events following a decision to activate the COOP/COG Plan. This includes employee alert and notification procedures and the COOP/COG Plan implementation process. Any tools used in the alert and notification process, such as notification tress or automated software should be noted in this section.

Table 7-1. Notification Procedure.

Individual/Organization to be Notified	To be Notified By

3. Leadership

a. *Lines of Succession*

This section should identify lines of succession to key positions within the organization. The lines of succession should be of sufficient depth to ensure the organization’s ability to manage and direct its essential functions and operations (at least three positions deep). The conditions under which succession will take place, the method(s) of notification, and any temporal, geographical, or organizational limitations of authority should also be identified in this section. You should identify any existing statutes covering lines of succession. **Worksheet 14: Key Positions and Lines of Succession** may be used to capture this information and to complete Table 7-2.

Table 7-2. Key Positions & Lines of Succession.

Essential Function	Key Position	Successors

b. *Delegations of Authority*

This section should identify, by position, the authorities for making policy determinations and decisions at headquarters, field levels, and organizational locations, as appropriate. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted, and these delegations of authority will terminate when these channels have been resumed. Such delegations may also be used to



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address specific competency requirements related to one or more essential functions that are not otherwise satisfied by the lines of succession. Delegation of authority should document the legal authority needed for effective operations, and establish capabilities to restore authorities upon termination of the event. **Worksheet 15: Delegations of Authority** may be used to capture this information and to complete Table 7-3. **Workshop IV: Command & Control and Constructing a COOP/COG Plan** provides additional information on delegating authority.

Table 7-3. Delegations of Authority.

Authority	Type of Authority	Position(s) Holding Authority	Triggering Conditions	Limitations on Delegation

c. *Devolution*

The devolution section should address how an organization will identify and conduct its essential functions. In the aftermath of a worst-case scenario, one in which the leadership is incapacitated. The organization should be prepared to transfer all of their essential functions and responsibilities to personnel at a different office or location. You should identify any provisions – if any – for pursuing devolution and include a list of alternative agencies.

Worksheet IV: Command & Control and Constructing a COOP/COG Plan provides additional information on devolution.

4. Relocation

This section should include procedures for relocating essential functions, including required resources, to an alternate facility. This section should also include procedures for dealing with personnel who are not to be relocated to the alternate facility. If an organization has existing emergency relocation plans, they may be incorporated by reference.

B. Phase II: Alternate Facility Operations & Resumption Strategies

The Phase II section should identify initial arrival procedures, as well as operational procedures, for the continuation of essential functions at an alternate facility.



1. Alternate Facilities

In the event of an emergency, identifying an alternate facility capable of supporting essential operations, positions, and personnel is critical. These facilities must be capable of supporting operations in a threat-free environments, as determined by the geographical location of the facility and the collective protective characteristics of the facility.

This section should include a list of alternate facilities to which essential function will be relocated and the resources that are required at the alternate facility. In this section you should identify existing alternate locations that have been identified, including memorandums of understanding (MOUs). This section should include strategies for moving and resuming essential functions at the alternate location, including the pre-positioning of supplies, mirroring computer systems and databases at the alternate facility, or putting service level agreements in place with key vendors.

2. Mission Critical Systems & Equipment

This section should address the organization’s mission critical systems and equipment necessary to perform essential functions and activities. Organizations must define these systems/equipment, as well as the method employed to transfer or replicate those systems/equipment at an alternate site. (See Worksheet 12: Mission Critical Systems and Equipment for further guidance).

Table 7-4. Mission Critical Systems & Equipment.

System or Equipment Name	Current Location	Other Locations

3. Vital Files, Records, and Databases

This section should address the organization’s vital files, records, and databases, to include: classified or sensitive data that are necessary to perform essential functions and activities and to resume normal operations after the emergency ceases. Organizational elements should be pre-position and update on a regular basis those duplicate records, databases, or back-up electronic media necessary for operations.

There are three categories of records to be reviewed, prioritized, and transferred (either hard copy or electronic media) to an alternate location:

- Emergency operations records;



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- Legal/financial documents, and;
- Records used to perform high-level security preparedness functions and activities.

Table 7-5. Vital Records and Databases.

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location	Maintenance Frequency

4. Interoperable Communications

This section should address the organization’s mission critical communications systems necessary to perform essential functions and activities. Organizations must define these systems and address the method employed to transfer/replicate this information at an alternate site. This section should address both operable and interoperable communications, to include equipment with voice and/or text capability. Examples of such equipment include the following:

- Mobile telephones
- Satellite telephones
- Employer supplied mobile devices
- Two-way radios
- Pagers
- Non-secure telephones
- Secure telephones
- Internet connection for email and web access
- Facsimile

See Worksheet 9 for further direction and guidance.



Table 7-6. Interoperable Communications Systems.

Communication System	Current Provider	Services Provided	Emergency Services	Alternate Providers or Modes

5. Human Capital (Protection of Personnel)

In this section, the organization should list existing procedures that are in place to protect an organization’s resources – with an emphasis on personnel. This section should specify the resources and personnel to be transferred to the alternate site and the method(s) employed for safely transporting them to the site. It should also describe the various documents and checklists available to employees to encourage and facilitate individual and family preparedness.

6. Vendors & Other Agency Functions

In this section, the organization should identify how it will continue to receive needed support from external vendors or supporting agencies at the alternate site.

Table 7-7. Vendors & Other Agency Functions.

Name of Vendor or Supporting Agency	Description of Product or Service	Activity Supported by Vendor or Agency	RTO	Can Vendor or Agency Satisfy RTO?	Alternate Providers or Modes

C. Phase III: Reconstitution & Resumption Strategies

The Phase III section should explain the procedure for resuming normal operations – a time phased approach may be most appropriate. This section may include procedures for returning to the primary facility (if available), or procedures for acquiring a new facility. Notification procedures for all employees returning to work must also be addressed. Organizations should also anticipate developing an After Action report (AAR) to determine the effectiveness of COOP/COG plans and procedures.

VIII. COOP/COG PLANNING RESPONSIBILITIES

This section should include additional delineation of COOP/COG responsibilities of each key staff position, to include members of the COOP/COG Senior Activation Team. Team members and individuals should be identified in the order of succession and delegation of authority. This section should also include responsibilities for the COOP/COG Planners responsible for normal, day-to-day program support. List the position with the description of duties in **Table 8-1**.



Table 8-1. Key Positions & Description of Responsibilities.

Position	Description of Responsibilities

IX. LOGISTICS

This section of the COOP/COG Plan should contain information about resumption logistics requirements. Examples of these requirements include:

- Space requirements;
- Human Support Requirements, such as food provisions, sleeping arrangements, transportation, etc.; and
- MOUs and Provisioning Contracts (the actual documents may be housed in annexes).

This section should also include detailed resumption procedures for the loss of key resources. Much of the information contained in this section will actually be owned by Points-of-Contact rather than the COOP/COG Program. The plan itself may contain references to where this information is housed and maintained within the organization.

A. Alternate Facility

The alternate location section should explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location. Senior managers should take into consideration the operational risk associated with each facility. Performance of a risk assessment is vital in determining which alternate location will best satisfy an organization’s requirements. Alternate facilities should provide:

- Sufficient space and equipment;
- Capability to perform essential functions within 12 hours, up to 30 days (or another timeframe as determined by the organization);
- Reliable logistical support, services, and infrastructure systems;
- Consideration for health, safety, and emotional well-being of personnel;
- Interoperable communications; and
- Compatible computer equipment and software.

See Worksheet 7 for further direction and guidance.



Table 9-1. Minimum Facility Requirements

Essential Function	Number of Personnel Required	Equipment Required	Communications Required	Space Required	Security Required	Access Required

B. Mission Critical Systems & Equipment

The mission critical systems and equipment section should identify available and redundant mission critical systems and equipment that are located at the alternate facility. These systems and equipment should provide the organization with the ability to perform its essential functions at the alternate facility, as well as to support the organization’s resumption to normal operations. Mission critical systems and equipment should provide:

1. Capability commensurate with an organization’s essential functions;
2. Ability for personnel to access systems and equipment;
3. Ability to support COOP/COG operational requirements; and
4. Ability to operate at the alternate facility within 12 hours and for up to 30 days (or the time-frame determined by the organization).

C. Interoperable Communications

The interoperable communications section should identify available and redundant critical communication systems that are located at the alternate facility. These systems should provide the ability to communicate within the organization and outside the organization. Interoperable communications should provide:

1. Capability commensurate with an organization’s essential functions;
2. Ability to communicate with essential personnel;
3. Ability to communicate with other agencies, organizations, and customers;
4. Access to data and systems;
5. Communication systems for use in situations with and without warning;
6. Ability to support COOP/COG operational requirements;
7. Ability to operate at the alternate facility within 12 hours and for up to 30 days (or the time-frame determined by the organization); and



8. Interoperability with existing field infrastructures.

D. Personnel

This section should identify personnel with key skills or experience and available back-up resources. When identifying key personnel, consider the following circumstances:

1. Specialized training or skills that are required to perform the essential function;
2. The minimum number of personnel required to perform the essential function;
3. Other personnel available with skills that are transferable to support essential functions; and
4. Whether performance of the essential function requires transfer of the personnel to an alternate site (i.e., personnel can perform tasks via telecommuting).

E. Vendors & Other Agency Functions

This section should identify the availability of vendors, or other agencies, to support essential functions. This section should identify the procedures to be used for the delivery of services at the alternate facility.

X. Test, Training, & Exercises

This section should address the organization's Training & Exercise (T&E) Plan. Training and exercising helps to familiarize staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate certain aspects of the COOP/COG Plan. Managers may be creative when it comes to COOP/COG readiness and include weather events, power outages, server crashes, and other ad-hoc opportunities to assess preparedness.

To maximize the capabilities of potential COOP team members, all employees should participate in the planning, implementation, and critique of exercises that test their COOP/COG Plan. Testing the COOP/COG Plan will validate the plans, policies, procedures, and systems; identify deficiencies in the COOP/COG Plan and allow for subsequent correction.

The T&E plans should provide:

1. Individual and team training of organization personnel;
2. Internal organization exercising of COOP/COG plans and procedures;
3. Testing of alert and notification procedures;
4. Refresher orientation for COOP/COG personnel; and



5. Joint interagency exercising of COOP/COG plans, of appropriate (for example, situations where an organization’s ability to deliver an essential function is dependent on a support function from another organization).

The effectiveness of the training exercises should be documented in a Post-Exercise Assessment that should be prepared within one or two weeks of the exercise.

XI. MULTI-YEAR STRATEGY PROGRAM MANAGEMENT PLAN & BUDGET

A comprehensive COOP/COG plan is often the result of layer after layer of development over time. Initially, an organization should focus on establishing a baseline of capability for each of the eleven COOP/COG elements. The organization should document where there continue to be gaps in their preparedness and develop a plan/strategy for addressing them. The Multi-Year Strategy Program Management Plan section of your plan should address short and long term COOP/COG goals, objectives, timelines, budgetary requirements, planning and preparedness considerations, and planning milestones or tracking systems to monitor accomplishments.

A. COOP/COG Plan Maintenance

This section should address how the organization plans to ensure that the COOP/COG Plan contains the most current information. It should describe the organization’s maintenance strategy and tactics, including event-driven changes and periodic reviews. Organizations should review the entire COOP/COG Plan at least annually. Key evacuation routes, roster and telephone information, as well as maps and room/building designations for alternate locations should be updated as changes occur.



ANNEXES

Annexes contain highly detailed and necessary information, typically as either backup or reference material. Some annexes may include information typically contained in appendices. Other annexes may contain information or references to material that are owned and housed by departments, divisions, branches, or sections outside the COOP/COG plan itself. The annexes listed in this template contain the minimum information that should be included in a COOP/COG plan. No particular order or sequence is required for Annex material.

ANNEX A – AUTHORITIES & REFERENCES

This annex should cite a list of authorities and references that mandate the development of this COOP/COG Plan, and provide guidance towards acquiring the requisite information contained in this COOP/COG Plan.

ANNEX B – OPERATIONAL CHECKLISTS

This section should contain operational checklists for use during a COOP/COG event. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task. Sample operational checklist topics may include:

- Telephone Cascade
- Emergency Calling Directory
- Key Personnel Roster and Essential Functions Checklist
- Senior Activation Team (SAT) Roster
- Emergency Relocation Team Checklist
- Alternate Site Checklist
- Emergency Operating Records and IT Checklist
- Emergency Equipment Checklist

ANNEX C – ESSENTIAL FUNCTIONS

This annex should include a list of your identified essential functions.

ANNEX D – ALTERNATE LOCATION/FACILITY INFORMATION

This annex should include general information about the alternate location/facility. Examples include the address, points-of-contact, and available resources at the alternate location.



ANNEX E – MAPS & EVACUATION ROUTES

This annex should provide maps, driving directions, and available modes of transportation from the primary facility to the alternate location. Evacuation routes from the primary facility should also be included.

ANNEX F – DEFINITIONS & ACRONYMS

This annex should contain a list of key words, phrases, and acronyms used throughout the COOP/COG Plan and within the COOP/COG community. Each key word, phrase, acronym should be clearly defined.

ANNEX G – CONCEPT OF OPERATIONS

This should annex should contain the operational details and procedures necessary to execute the provisions of this plan. This is a short document that includes activation & notification procedures, team membership, responsibilities, and sample task lists.



County of Clara, Office of Emergency Services

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

WORKSHEETS

The role of the worksheets is to assist with the COOP/COG planning process. Organizations may choose to use these worksheets as is, modify them, or create their own planning tools. These worksheets are intended to assist you with organizing information required for creating a COOP/COG plan.

The worksheets do not appear in this template sequentially. These worksheets represent the MINIMUM information required for COOP/COG planning purposes. The full set of worksheets and other planning tools are included in the program materials or can be found on the OES website.