
GUIDANCE FOR

DEPARTMENT CONTINUITY OF OPERATIONS

(COOP)



GUIDANCE FOR CONTINUITY OF OPERATIONS PLANNING

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I. GUIDANCE OVERVIEW

Introduction

In accordance with the City's Administrative Code, it is the responsibility of each Department/Agency (*herein referred to as 'Department'*) to plan and prepare for restoring services after an interruption, emergency or disaster; as well as maintain plans and procedures for emergency operations. One of the core plans each department should maintain is a Continuity of Operations Plan (COOP). The primary function of a COOP plan is to help a department/agency identify its essential functions, and build a plan to maintain those core functions following a disruption of service. To fulfill this responsibility, the Department of Emergency Management has created this planning guidance and template to assist all City Departments with developing these plans.

Note: This planning guidance and template were developed based on current trends in the field of emergency management. .

Note: It may be helpful, before you begin writing your department's COOP to take a couple FEMA Independent Study COOP Courses:

IS 546.12 – Continuity of Operations Awareness: An introduction to the concept of COOP Planning.

<http://training.fema.gov/EMIWeb/IS/is546.12.asp>

IS 547.a – Introduction to COOP: Describes the Continuity Management Cycle and how it should be used to develop sound continuity of operations plans.

<http://training.fema.gov/EMIWeb/IS/is547a.asp>

Purpose

Comprehensive continuity and emergency planning supports emergency preparedness. It identifies clear tasks and purposes, promotes frequent interaction among stakeholders, guides preparedness activities, establishes procedures, and provides measures to synchronize response actions. The key purpose of continuity and emergency planning is to reduce the consequences of an emergency or disaster by preparing the responsible entity.

Accomplished properly, planning provides a methodical way for stakeholders to think through the entire life cycle of a potential crisis, determine required capabilities, and learn and practice their roles. Planning is not a scripted process that tries to prescribe response actions with unjustified precision. Rather, it should provide a starting point for operations and possible courses of action, and be adjusted as the situation dictates or as facts replace planning.

Scope

This guidance and template provide for an “all-hazards” planning approach, which encompasses preparation and planning for any natural and man-made hazards, and ranges from planned events to large-scale disasters.

How to Use This Guidance

For Departments that already have a COOP developed and implemented, we ask that you review this guidance and template to make sure that your plan includes these elements. For Departments that do not have a COOP developed, we recommend that you utilize this template as a tool to develop one.

The following template is formatted into two main sections. The first is the main body of the COOP. This section focuses on the high level elements of the Department. The second section is the Division COOP Annexes. These annexes allow each department to drill down to the specifics of each division, and utilize each annex as more an operational guide to activating their COOP. If your agency does not have Divisions, you can either choose to ignore the references throughout the document, or choose to break down your agency based on work responsibilities or job functions.

Utilize the content within this document as a launching point. The text in the document is only a suggestion and should be edited accordingly to the needs of your department. Start by reviewing the elements and evaluating the areas highlighted in blue boxes. These considerations are placed within in each section to help provide guidance for filling out the content. Reference or attach appropriate supporting documentation. As you move through the template, you may find that certain areas important to your Department are not addressed. Add those areas that are important and/or skip sections that are not applicable. We also encourage Departments to include unique planning elements that are considered critical to their particular emergency response, recovery and reconstruction roles.

Your Department may also use existing standard operating procedures (SOPs) as foundational building blocks for the development of the COOP. For example, SOPs typically include procedures for use in the event of an emergency, such as building evacuation plans; plans for notifying the public of new office or service center locations and phone numbers; plans for developing site-support procedures, including security for alternate facilities; and methods for acquiring resources necessary to sustain operations for up to fourteen days. It is important to note, however, that SOPs are not substitutes for this type of planning. Each Department must thoroughly examine its operations in light of emergency preparedness and continuity capability concerns.

Please note: The guidelines are intentionally broad in scope in recognition of significant differences in Department missions and size. The guidelines consist of functional sections that serve as a model for standardizing the format of COOP plans, but should not be considered as all-inclusive. The format in these guidelines may also be used to develop either a single comprehensive COOP plan or a combination of several plans for those Departments that have multi-agencies and/or divisions that accomplish specific functions.

Recommendations for Plan Development and Implementation

- 1) Designate a COOP/EOP Coordinator (this person can also be your Departmental Preparedness Coordinator - DPC)
- 2) Form a Planning Team
- 3) Coordinate with Stakeholders
- 4) Write the Plan
- 5) Test the Plan
- 6) Refine the Plan
- 7) Educate your Department/Agency
- 8) Plan for COOP/EOP Training and Exercises and Updating the Plan

City and County of San Francisco
[Department Name]
Continuity of Operations Plan



**[Department
Logo]**



OVERVIEW

Many of the City and County of San Francisco's (*herein referred to as 'the City'*) emergency management and homeland security challenges stem from vulnerabilities associated with its geographic characteristics, population density and demographics, burgeoning tourist industry, and presence of nationally prominent landmarks. While an earthquake is the City's most likely catastrophic scenario, terrorism is also a very real threat. Today's asymmetric threat environment and the potential for no-notice emergencies have increased the need for enabling organizations to continue their essential functions across a broad spectrum of emergencies. An organization's resiliency is directly related to the effectiveness of its continuity capability and emergency preparedness. Given these realities, emergency preparedness is very important and requires targeted investments and unwavering and continuous support by City leadership.

Provide a sentence or two regarding the department's responsibilities and the importance of maintaining those key functions post disaster

This Continuity of Operations Plan (COOP) is an integral component of a system that assures our capability to carry out essential functions in time of emergency.

[Executive Director Name]

Date

[Department]



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INTRODUCTION

Include a brief description of the Department. For example,

- *Mission of the Department*
- *Responsibilities/day-to-day activities*
- *Employees (number of, typical duties, skills)*
- *Clients/visitors in department facilities or otherwise receiving services*
- *Department headquarters and other work locations*
- *Department Operations Center location – as appropriate*

Describe management's commitment and support for continuity of operations and/or emergency operations planning. Promulgate the document as flexible, yet authoritative. This will give the plan official status and both the authority and the responsibility for entities to perform their tasks. This section should also mention the responsibilities of each tasked entity, with regard to preparing and maintaining this plan and commit those organizations to carry out the training, exercises, and plan maintenance needed to support the plan.

1.1 Purpose

Describe what this plan is designed for, what this plan is meant to do. Describe the Department's commitment to continuity planning and/or emergency operations planning and explain the importance of this type of planning to the Department. Include recent events that may emphasize the importance of this kind of planning for the Department. Identify additional plans and/or procedures where elements or all of this planning may be addressed. Identify Department-specific authorities that may support the development of this plan.

This Continuity of Operations Plan (COOP) has been developed to ensure that the [Your Department] will continue to provide essential functions in the event of an emergency that threatens or incapacitates departmental or city infrastructure.

As is necessary when planning for all hazards, the considerations in this plan must be flexible to accommodate various scenarios. This plan is, however, [Your Department's] authoritative source for emergency continuity of operations planning. In addition, it is organized as a high level, department-wide overview of prioritized services following a disaster. Division-specific tactical details are located in the Division COOP Annexes [Your department may choose not to have Division COOP Annexes].



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1.2 Applicability and Scope

The section should state who this plan applies to and should mention those entities (agencies, community, partners, etc.) and geographic areas that are affected by it. The scope should address that COOP is not tactical in nature, nor do they focus on Incident Command at the field level. This section should introduce the “all-hazards” approach, which encompasses preparation and planning for any natural and man-made hazards, and ranges from planned events to large-scale disasters. For example:

- *Earthquake*
- *Power or Utility Outage*
- *Avian Flu Pandemic*
- *Bomb Threat*
- *Fire*
- *Explosion*
- *Hazardous Materials Release*

This Plan applies to all divisions of the [Your Department] and provides guidance on the prioritization of activities when standard operating practices cannot be maintained. The Plan can be used to provide guidance on the allocation of resources including the reassignment of personnel, use of alternate facilities, and use of administrative and management support.

This Plan can be activated in its entirety or in parts. This plan addresses the unique challenges associated with the department by addressing each of the [# of divisions represented in this COOP] divisions; [List out each Division] as Division COOP Annexes.

COOP Division Annexes allow for quick access to critical information for each division, allowing each to operate as individual entities in their COOP activation while still maintaining cohesion as a department. The Division Annexes also reference key operational support documents critical to the implementation of the COOP. Finally, the plan is designed to complement procedures outlined in the City and County of San Francisco Emergency Response Plan (ERP).

1.3 Authorities and References

Include any additional State, local, or departmental authorities that reference the need for having a COOP Plan

This plan was written in accordance with the federal policy National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20).



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1.4 Document Management and Distribution

This section should be used to define when and how the Plan will be reviewed and evaluated. Be certain to include the process and protocols for plan approval and issue resolution. Review of the plan and plan components should be conducted annually and may also be re-evaluated when any of the following occur:

- *Regulatory changes*
- *New hazards are identified or existing hazards change*
- *Resources, staff or organizational structures changes*
- *After tests, drills, or exercises*
- *After plan activation*
- *Infrastructure changes*
- *Funding or budget level changes*

The [Your Department] COOP will be reviewed and revised, as necessary, on an annual basis engaging key stakeholders in the process. Each revision of the plan will be authorized the Department's Executive Director as well as those Deputy Directors impacted by any changes. The plan may be modified as a result of post-incident analyses and/or post-exercise critiques. It may also be modified if responsibilities, procedures, laws, rules, or regulations pertaining to emergency management operations change. Records of revisions to the COOP will be maintained by [COOP Coordinator] on the register at the beginning of this document.

Those departments having assigned responsibilities under this plan are obligated to inform [COOP Coordinator] when organizational or operational changes affecting this plan occur or are imminent. Changes will be published and distributed to relevant organizations.



ASSUMPTIONS

Planning assumptions identify what the plan developer assumed to be facts for planning purposes in order to make it possible to execute the plan. Assumptions include what threats will affect an organization's ability to carry out its mission; the expected impact for each potential threat; the probability that each potential threat will occur; whether personnel or resources from other organizations or municipalities not affected will be available; any potential organizational changes that may occur post disaster, that the organization will implement a plan within twelve hours after the event; and that the plan will provide for the ability to continue operations for at least fourteen days after the emergency.

The following assumptions were made in the process of writing this plan:

- Alternate facilities are maintained and tested on a regular basis.
- This plan must be operational within an hour of an incident and must be able to operate for up to 30 days.
- This plan can be operated under the guidance of reduced staff.
- This plan is only as functional as the personnel implementing it.
- Following the declaration of an emergency requiring activation of the department COOP, certain non-essential functions may be discontinued.

CONCEPT OF OPERATIONS

3.1 Phases of Operations

Phases of Operations outline the 3 phases of COOP activation and provide a high level description of how your department will move through each phase. Depending on how you choose to write your Department's COOP, key operational information and methodologies may not be placed in this section, but instead in the Division Annexes.

In the event of a disaster or emergency, rapid organization to assess the impact on operations and to determine necessary actions is imperative. COOP operations are characterized by three distinct phases: activation and notification, relocation to alternate facility operations, and reconstitution.

3.1.1 Phase I: Activation and Notification

This section should explain the activation procedures and notification procedures of the COOP plan. The plan must provide a process for activation, including identifying key personnel who have that authority, along with identifying who is in charge of notifying



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key personnel and the methods they should use. This section should also address procedures and guidance for non-relocating personnel.

Conditions under which this COOP might be activated include [Briefly include a few scenarios that may force your department to activate the COOP]. This plan may be activated in situations such as:

- Known threats and emergencies (with warning). Some threats may afford advance warning that will permit orderly alert, notification and, if necessary, evacuation of employees. Examples are a transportation accident with the potential for the release of hazardous material or the threat of a terrorist act.
- Unanticipated threats and emergencies (no warning). Incidents may also occur without warning during normal office hours. In this case, implementation of the COOP, if indicated by the circumstances, would be preceded by execution of a building occupant emergency plan to move employees and visitors out of the building expeditiously.

If a situation arises that impacts or threatens the ability to perform essential functions, the COOP may be activated by the [List the key personnel who may activate the COOP. This may include Executive and Deputy Directors, as well as other key operational personnel.].

Upon activation of the COOP, each division [Your department may not be made up of divisions] should begin their notification procedures as outlined in the Division COOP Annexes. All available forms of communication should be utilized.

Employees who are not required to relocate to the alternate facility will refer to their divisions post disaster staffing plan for instructions. The Department's Public Information Officer will work to develop messages notifying partner agencies of any potential need to suspend any non-essential services during COOP implementation.

3.1.2 Phase II: Relocation to Alternate Facility

This section should explain the relocation procedures from the primary facility to the continuity facility. The plan must provide a process or methodology for attaining operational capability at the continuity site(s) with minimal disruption to operations within 12 hours of plan activation.

Upon activation of the Department's COOP, the Advance Element Team (see Division COOP Annexes) should immediately make their way to the designated Alternate Facility. The Alternate Facilities for the [Your Department] are located



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at [List Facility locations]. Activation instructions for each facility and other critical information can be found as annexes to this document.

Upon successful set up of the Alternate Facility, additional critical staff will be notified that they are to return to work at the new location.

3.1.3 Phase III: Reconstitution

Organizations must identify and outline a plan to return to normal operations once organization heads or their successors determine that activation of the COOP is no longer necessary. Reconstitution is a critical piece of the COOP and planning must begin as soon as the COOP is activated. This section shall include the following items:

- Positions that make up the Reconstitution Team
- Personnel to fill those positions (Do not use names. Only job titles)
- Responsibilities of the Reconstitution Team

Reconstitution will begin when the [List those who have authority to activate the COOP] determines that the emergency is no longer a threat and the original/new facility is ready to be inhabited. Reconstitution Planning will begin immediately following the activation of the COOP. The Reconstitution Team will, at a minimum, be staffed with the following positions:

Role	Responsible Division
Reconstitution Unit Leader	<i>Insert Departmental Personnel</i>
DEC Liaison	<i>Insert Departmental Personnel</i>
DES Liaison	<i>Insert Departmental Personnel</i>
Information Technology Support	<i>Insert Departmental Personnel</i>
Facilities Support	<i>Insert Departmental Personnel</i>

The responsibilities of the Reconstitution Unit are as follows:

- Coordinate with necessary personnel (i.e. building engineer, security, IT) to determine functionality of building.
- If primary facility is uninhabitable for more than 30 days, work with external partner agencies (e.g. CCSF Real Estate) to locate a new facility.
- Ensure that appropriate security, infrastructure, safety, and health assessments are conducted at the facility.



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- Oversee the orderly transition of the Advance Element Team, essential functions, equipment, and records from the alternate facility to a new or restored facility.
- Oversee the orderly transition of all remaining personnel, equipment, and documents, to the new facility.
- Coordinate messaging to staff, internal and external partner agencies that operations have been returned to normal.

Upon receiving verification of the readiness of the original/new facility from the Reconstitution Unit Leader, the Advance Element Teams will return to the primary facility/move to the new facility and resume providing essential functions.

After normal operations have resumed, [List those who have authority to activate the COOP] will de-activate the COOP. The Executive Director or his/her designee will ensure that an after-action review is conducted of the COOP and the effectiveness of emergency plans and procedures in place. The review will occur as soon as possible, but no later than four weeks after the return to normal operations. The review will identify areas for correction and be included in the [Your Department]'s Master Improvement Plan.

3.2 Essential Functions

All agencies must identify and prioritize their essential functions, which serve as the foundation for continuity planning. The essential functions section must include a list of the organization's prioritized Category 1 and Category 2 Essential Functions. The continuity of operations plan must identify the components, processes, and requirements that ensure the continued performance of the agency's Essential Functions. It is important to keep the Essential function to the two or 3 high level key missions of your department. This is not meant to be a long list of tasks.

Agency functions are categorized as follows:

- Category 1: Mission Critical – services that must remain operational at all times
- Category 2: Immediate Post-Incident – services that must be brought back online as soon as possible and no later than 12 hours after an incident
- Category 3: Normal Services – services that need not be restored in full until the incident has passed and Category 1 and 2 services are operational.

Below are the Category 1 and 2 Essential Functions for the department and are a collection of the top identified Category 1 and 2 Essential Functions for each division. Essential Functions for each Division can be found in the Division COOP Annexes.



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Category 1 Functions		Title of Responsible Position
1	<i>Provide 9-1-1 Call screening, radio communication and dispatch to law, fire and EMS field units</i>	<i>DEC Deputy Director</i>
2	<i>Maintain and perform all functions related to the DES Duty Officer</i>	<i>DES Deputy Director</i>
3	<i>Maintain quality and coordination of EMS System (Health & Safety Code 1797.153©)</i>	<i>EMS Administrator</i>

Category 2 Functions		Title of Responsible Position
1	<i>Response and recovery planning</i>	<i>DES Deputy Director</i>
2	<i>Communications with the State</i>	<i>DES Deputy Director</i>
3	<i>Restoration of all emergency and administrative systems (Computer Aided Dispatch, network connection, WebEOC, etc)</i>	<i>IT Manager</i>
4	<i>EOC staffing</i>	<i>All</i>

3.3 Leadership

This section identifies current orders of succession and the delegations of authority to the head of the department. Lines of succession defines who is next in line in case your Department Head in unable to fulfill they duty. Delegations of authority identify those persons in line to succeed the department head, and any potential exceptions to their assumption of that role. For example, someone listed in your lines of succession may be able to assume the role of Department Head, but unable to make financial decisions and approvals. Revisions should be distributed to agency personnel as changes occur.

There may be instances when individuals in essential roles may be unable to fulfill their duties. Because the role is essential, a successor will need to pre-identified to assume that role. The lines of succession for [Your Department] Executive Director can be



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found in the table below. Each Division’s lines of succession can be found in the Division COOP Annexes.

Unless stated otherwise, the identified successor will assume full responsibilities of the person they are replacing. However, in certain situations, the successor does not assume full responsibilities. These exceptions are listed under Delegations of Authority.

3.3.1 Lines of Succession

Key Department Position	Line of Succession
<i>Executive Director, Department of Emergency Management</i>	<ol style="list-style-type: none"> 1. <i>Deputy Director, Administration & Support</i> 2. <i>Deputy Director, Urban Area Security Initiative</i>

Based on your Organization, you may need more spaces in the above table to fully lay out your department’s lines of succession.

3.3.2 Delegations of Authority

Position	Assumed Role	Exceptions
<i>Deputy Director</i>	<i>Executive Director</i>	<i>Must work with Director of Finance on all budgetary decisions</i>

Based on your Organization, you may need more spaces in the above table to fully lay out your department’s Delegations of Authority.

3.4 Mission Critical Systems

Mission critical systems are those systems such as information technology and communications that are required to support the agency’s ability to perform its essential functions. Those systems needed to support the essential functions are identified in the Division COOP Annexes

3.5 Vital Files, Records and Databases

Vital records can be defined as “electronic or hardcopy” documents, references, and records needed to support essential functions during a COOP situation. They should account for: The identification, protection, and ready availability of vital records, databases, and hardcopy documents needed to support essential functions under the full spectrum of emergencies which are critical elements.

The two basic categories of vital records are emergency operating records and legal and financial records. What is a vital record?



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- An information item that is considered to be vital to the operation of an organization
- The determination of “what” is vital is a “management” decision.

Emergency Operating Records

- Plans and directives
- Staffing assignments

Legal and Financial Records

- Personnel records
- Payroll records
- Retirement records

3.5.1 General

To the extent necessary, vital records and electronic files will be duplicated and stored at a secondary location removed from the primary facility. Vital records include the following:

- Emergency Operating Records - These records are essential to the continued functioning or reconstitution of the operating units in the department during or after an emergency that requires activation of this COOP.
- Legal and Financial Records - These records are essential to carrying out the legal/financial functions of the department or to protecting the rights of individuals directly affected by the department’s activities.

Vital electronic files and databases also will be backed up daily, weekly, and monthly per the regular IT backup schedule. A list of agency vital records and databases can be found in the Division COOP Annexes.

3.5.2 Vital Records Implementation Plan

The department’s vital records are electronically either stored on – site or remotely in a secured facility. Preservation, access to, and recovery of these vital records will be the responsibility of the [List title of responsible party].

When the COOP is activated, [List title of responsible party] will be responsible for ensuring that vital records are accessible at the alternate operating facility. During the return to normal operations, [List title of responsible party] will ensure that the identified vital records and all subsequent changes made to those vital records during COOP activation are restored to their original location. The vital records implementation plan should be tested as part of the department’s COOP exercise program.



TEST, TRAINING, AND EXERCISES

This section should provide methods to measure, analyze and examine your planning efforts. For example, this section should offer plans, as needed, for:

- 1. Individual and team training and orientation for employees*
- 2. Testing of alert, notification, and mobilization procedures*
- 3. Testing, training and exercising of plans*

The effectiveness of a COOP depends on an employee's awareness of COOP requirements. Each employee that has an essential readiness role and each department/division that provides or supports the ability to perform its essential functions must know how to execute its portion of the plan. In other words, each essential employee must "own" the plan.

To accomplish this goal, the policies and procedures of this plan and all accompanying annexes will be tested on a regular basis. A schedule of testing, training, and exercises is included in Appendix A. Within two weeks of implementing an exercise, the department will conduct an after-action review so that participants will understand what they did well and ways they can improve their responses. The department will write an after-action report that summarizes the points raised during the after-action review.



ANNEX A – [LIST INDIVIDUAL DIVISIONS]

The Division COOP Annex is designed to be a microcosm of the COOP and is designed to address some of the unique differences that may exist between divisions. It is also written to act as an Operational “Grab n’ Go” plan that is concise and contains all the necessary info to activate the COOP. All information listed below is listed merely as examples and each section should be tailored to the specific needs of each Division. For instructions and guidance on each section, refer back to the main document.

This Continuity Annex explains the functions, operations, and resources necessary to ensure the continuation of the [List individual Division] essential functions in the event its normal operations are disrupted or threatened with disruption. This plan applies to all [List individual Division] personnel. [List individual Division] staff must be familiar with continuity policies and procedures and their respective continuity roles and responsibilities. This document ensures [List individual Division] is capable of conducting its essential missions and functions under all threats and hazards.

I. ESSENTIAL FUNCTIONS

The following matrixes identify the positions responsible for Categories 1 and 2 functions in order of priority. Category 1 functions are functions that cannot be disrupted. Category 2 functions are functions that can be discontinued for no more than 12 hours before they are resumed.

Category 1 Functions		Responsible Party
1	<i>Staffing the Department Duty Officer</i>	<i>DES</i>
2	<i>Public warning and notification</i>	<i>DES</i>
4	<i>Maintain quality and coordination of EMS System (Health & Safety Code 1797.153©)</i>	<i>EMSA</i>

Category 2 Functions		Responsible Party
1	<i>Response and recovery planning</i>	<i>DES</i>
2	<i>Communications with the State</i>	<i>DES</i>



II. ORDER OF SUCCESSION

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority.

Key Department Position	Lines of Succession
<i>Director, Division of Emergency Services</i>	<ol style="list-style-type: none"> 1. <i>Assistant Deputy Director</i> 2. <i>Resilience & Recovery Manager</i> 3. <i>EMS Administrator</i>
<i>Assistant Deputy Director</i>	<ol style="list-style-type: none"> 1. <i>Resilience & Recovery Manager</i> 2. <i>EMS Administrator</i> 3. <i>Lead Emergency Planner</i>
<i>EMS Administrator</i>	<ol style="list-style-type: none"> 1. <i>EMS Medical Director</i> 2. <i>EMS Coordinator</i>

III. DELEGATIONS OF AUTHORITY

To ensure that [List individual Division] staff identified in the leadership succession are aware of their responsibilities and are appropriately authorized to execute functions assigned to them; explicit emergency authority has been pre-delegated. Delegations of Authority outline exceptions that may exist in one position assuming the role of another position.

Position	Assumed Role	Exceptions
<i>Assistant Deputy Director</i>	<i>Director, Division of Emergency Services</i>	<i>No Exceptions</i>
<i>Resilience & Recovery Manager</i>	<i>Director, Division of Emergency Services</i>	<i>Deputy Director Level or Grants Manager signature needed on all finance approval documents</i>
<i>EMS Administrator</i>	<i>Director, Division of Emergency Services</i>	<i>Deputy Director Level or Grants Manager signature needed on all finance approval documents</i>



IV. NOTIFICATION PROCEDURES AND PERSONNEL

In the event normal operations are interrupted or an incident appears to be imminent, the [List responsible position] will notify the groups below in the following order:

Person/Group/Dept. to be notified	Method/System used for Notification
<i>Dispatch</i>	<i>Verbal (In person/Telephone)</i>
<i>DEM Command Staff</i>	<i>Verbal (In person/Telephone)</i>
<i>Mayor's Office</i>	<i>Verbal (In person/Telephone)</i>
<i>Internal City Partners</i>	<i>Mass Notification (CCSF Alert)</i>
<i>External Partner Agencies</i>	<i>Mass Notification (CCSF Alert)</i>

V. THE ADVANCE ELEMENT TEAM

In order to continue its essential functions, [List individual Division] has determined the staff positions necessary to relocate under Continuity Plan activation.

Position Title	Advance Element Responsibilities
<i>Duty Officer</i>	<i>Manage necessary situational awareness during transition</i>
<i>EOC Manager</i>	<i>Coordinate set up and staffing of the EOC</i>
<i>Sections Chiefs</i>	<i>Assist in the set-up of the EOC and begin operational coordination of incident</i>
<i>Reconstitution Support Staff</i>	<i>Work with Reconstitution Team to ensure smooth and expeditious return to normal services.</i>
<i>EOC Support Staff</i>	<i>Assist in the set-up of the EOC and begin staffing EOC</i>



VI. ALTERNATE FACILITIES

[List individual Division] has designated continuity facilities as part of its Continuity Plan and has prepared personnel for the possibility of unannounced relocation to the site(s) to continue performance of essential functions. The sites selected as alternate facilities must be able to be operational within 12 hours of COOP activation and sustain performance of essential functions for up to 30 days. Each of these facilities is maintained on a regular basis.

Facility Name	Facility Address	Agreement Type and Date	Annual Cost	Comments
1 SVN, Atrium Conference Room	1 South Van Ness SF, CA 94103	N/A	N/A	Back up EOC

The process for executing use of the alternate facilities is:

1. *Send Advanced Team to alternate facility*
2. *Notify dispatch of move to alternate*
3. *Utilize notification system (CCSF Alert) to notify partner agencies*
4. *Review Alternate EOC activation plan*

VII. VITAL RECORDS/DATABASES

Vital records refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support mission essential functions during a continuity event. [List individual Division] has incorporated its vital records program into the overall continuity program, plans, and procedures with clear authority to include:

- Policies
- Authorities
- Procedures

Within 12 hours of activation and when infrastructure supports it, continuity personnel at the continuity facility for [List individual Division] should have access to the appropriate media for accessing vital records, including:

- A local area network
- Electronic versions of vital records



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- Supporting information systems and data
- Back up external hard drive
- Internal and external email and email archives
- Paper copies of vital records

Vital Record	Type	Format	Location	Method of Transportation	Back-up freq.	Responsible Person
<i>Master Record of EMT files</i>	<i>Legal</i>	<i>Paper/ Electronic</i>	<i>30 VN/ State EMSA database</i>	<i>N/A</i>		<i>EMS Certification Specialist</i>
<i>EMS Disciplinary Files</i>	<i>Legal</i>	<i>Electronic</i>	<i>State EMSA Database</i>	<i>N/A</i>		<i>EMS Certification Specialist</i>
<i>Duty Officer Binder</i>	<i>Operational</i>	<i>Paper/ Electronic</i>	<i>30 VN/ Turk St</i>	<i>Each DO should bring their own copy</i>	<i>6 mo</i>	<i>Duty Officer</i>

The following staff members are authorized to access EMSA off-site records:

- 1. EMS Administrator*
- 2. EMS Certification Specialist*
- 3. EMS Medical Director*

VIII. MISSION CRITICAL SYSTEMS

Divisions should verify Information Technology arrangements and decide what level of detail to include in this COOP. The information below should describe mission critical systems and how they will be restored for your organization.

System Name	Current Location	Other Locations
<i>WebEOC</i>	<i>Internet</i>	
<i>CCSF Alert</i>	<i>Internet</i>	
<i>AlertSF</i>	<i>Internet</i>	
<i>OPWS</i>	<i>1011 Turk Street</i>	<i>Central Radio Station</i>

IX. COOP SUPPLEMENTAL DOCUMENTS

The Continuity of Operations Plan is a high level document that identifies key elements necessary to maintaining operations. This document does not contain operational details. Therefore, supplemental documents may be needed to execute



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specific aspects of the COOP. The following section identifies those key supplemental documents needed and what section of the COOP they relate to.

Supplemental Document	COOP Section	Notes/Instructions
<i>Duty Officer Binder</i>	<i>Essential Functions</i>	<i>Provides instructions on how to carry out Top 3 Essential Functions</i>
<i>Duty Officer Binder</i>	<i>Notification Procedures</i>	<i>Provides instructions on how to use notification systems to alert internal and external partners.</i>
<i>Alternate EOC Activation Manual</i>	<i>Alternate Facilities</i>	<i>Provides step-by-step instructions on how to set up the AEOC.</i>



APPENDIX A – TESTING, TRAINING, AND EXERCISE SCHEDULE

This section can either be its own appendix or placed in the body of the document. This section should contain a detailed outline of how your department plans to test, train, and maintain the COOP on a yearly basis.

Action	Responsible Party	Frequency	Tentative Schedule
<i>Conduct COOP training for essential personnel</i>	<i>Division COOP POC's</i>	<i>Annually</i>	<i>February</i>
<i>Test infrastructure at alternate facility, to include power, backup power, heating, cooling, water, and sewer</i>	<i>Division COOP POC's</i>	<i>Annually</i>	<i>March</i>
<i>Conduct exercise that involves the activation of the COOP and movement of key personnel from primary to alternate facilities</i>	<i>Division COOP POC's</i>	<i>Annually</i>	<i>November</i>
<i>Conduct after-action review of COOP exercise</i>	<i>Division COOP POC's</i>	<i>Annually</i>	<i>December</i>



DIVISION COOP ANNEX WORKSHEET

As you begin the process of working with your planning team to write your department's COOP you can use the following worksheet provide guidance to your COOP Planning team on the type of information you will need from them. Each division included within your COOP should complete this worksheet as it becomes the foundation for the Division COOP Annexes. Each Section has instructions on what should be included, as well as factors to consider when compiling the information.

I. ESSENTIAL FUNCTIONS

*The following charts identify the responsible position titles for Categories 1 and 2 functions, **in order of priority**. Category 1 functions are those that cannot be disrupted. Category 2 functions are those that can be discontinued for no more than 12 hours before they are resumed.*

Note: It may be the case that your Division has no Category 1 functions.

Category 1 Functions		Responsible Party
1	Staffing the Department Duty Officer	DES
2	Public warning and notification	DES
4	Maintain quality and coordination of EMS System (Health & Safety Code 1797.153©)	EMSA

Category 2 Functions		Responsible Party
1	Response and recovery planning	DES
2	Communications with the State	DES

II. ORDER OF SUCCESSION

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority.



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Key Department Position	Lines of Succession
<i>Director, Division of Emergency Services</i>	4. <i>Assistant Deputy Director</i> 5. <i>Resilience & Recovery Manager</i> 6. <i>EMS Administrator</i>
<i>Assistant Deputy Director</i>	4. <i>Resilience & Recovery Manager</i> 5. <i>EMS Administrator</i> 6. <i>Lead Emergency Planner</i>
<i>EMS Administrator</i>	3. <i>EMS Medical Director</i> 4. <i>EMS Coordinator</i>

III. DELEGATIONS OF AUTHORITY

To ensure that staff identified in the leadership succession are aware of their responsibilities and are appropriately authorized to execute functions assigned to them; explicit emergency authority has been pre-delegated. However, in certain cases those positions filling a leadership role may not have the full authority of that position. It is important to identify such exceptions and document them..

Position	Assumed Role	Exceptions
<i>Assistant Deputy Director</i>	<i>Director, Division of Emergency Services</i>	<i>No Exceptions</i>
<i>Resilience & Recovery Manager</i>	<i>Director, Division of Emergency Services</i>	<i>Deputy Director Level or Grants Manager signature needed on all finance approval documents</i>
<i>EMS Administrator</i>	<i>Director, Division of Emergency Services</i>	<i>Deputy Director Level or Grants Manager signature needed on all finance approval documents</i>

IV. NOTIFICATION PROCEDURES AND PERSONNEL

Use this section to outline who needs to be notified of the COOP's activation. This section should include both internal and external personnel, along with specific methods of contact. Phone lists can be helpful in this section.



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Person/Group/Dept. to be notified	Method/System used for Notification
Dispatch	Verbal (In person/Telephone)
DEM Command Staff	Verbal (In person/Telephone)
Mayor's Office	Verbal (In person/Telephone)
Internal City Partners	Mass Notification (CCSF Alert)
External Partner Agencies	Mass Notification (CCSF Alert)

V. THE ADVANCE ELEMENT TEAM

Identify those positions and personnel that are required to arrive early at the Alternate Facility in order to set it up and bring it to full operation. Consider your Division's Essential Functions and which personnel are responsible for maintaining those functions. The Advanced Element Team should be made up of those people.

Position Title	Advance Element Responsibilities
<i>Duty Officer</i>	<i>Manage necessary situational awareness during transition</i>
<i>EOC Manager</i>	<i>Coordinate set up and staffing of the EOC</i>
<i>Sections Chiefs</i>	<i>Assist in the set-up of the EOC and begin operational coordination of incident</i>
<i>Reconstitution Support Staff</i>	<i>Work with Reconstitution Team to ensure smooth and expeditious return to normal services.</i>
<i>EOC Support Staff</i>	<i>Assist in the set-up of the EOC and begin staffing EOC</i>



VI. ALTERNATE FACILITIES

Choosing and preparing alternate locations is an integral part of COOP planning. Any site selected as an alternate facility must be able to be operational within 12 hours of COOP activation and sustain performance of essential functions for up to 30 days. Each of these facilities is maintained on a regular basis and meets the following criteria to support performance of essential functions during COOP activation:

- *Sufficient space to accommodate essential personnel*
- *Adequate infrastructure, including electricity, backup power source, heating, cooling, water, and sewer*
- *In-place security measures*
- *Parking lot or public transportation access*
- *Sufficient networking capabilities to support performance of essential functions.*

Facility Name	Facility Address	Agreement Type and Date	Annual Cost	Comments
1 SVN, Atrium Conference Room	1 South Van Ness SF, CA 94103	N/A	N/A	Back up EOC

The process for executing use of the alternate facilities is:

Include specific steps here, or if you already have an SOP on how to activate your alternate facility, make reference to it here.

1. *Send Advanced Team to alternate facility*
2. *Notify dispatch of move to alternate*
3. *Utilize notification system (CCSF Alert) to notify partner agencies*
4. *Review Alternate EOC activation plan*

VII. VITAL RECORDS/DATABASES

Vital records are those records to which agency personnel must have access to be able to carry out essential functions. Records are typically in one of three forms: paper, electronic, or microfilm.



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A COOP should address a system for protection of vital records in an emergency as well as for normal operations. Every organization needs to have a vital records program that addresses the optimal protection, duplication, and preservation of records (maintenance) as well as procedures for the recovery and restoration of records.

Vital records protection can be accomplished in a number of ways. Current backup and retention schedules for each vital record should be examined. Other measures might be to replicate the organization’s server in an alternate facility or to store duplicate files off-site. Finally, another form of protection might be to limit access to records through security procedures or systems.

Vital records refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support mission essential functions during a continuity event. DEM-DES has incorporated its vital records program into the overall continuity program, plans, and procedures with clear authority to include:

- *Policies*
- *Authorities*
- *Procedures*

Vital Record	Type	Format	Location	Method of Transportation	Back-up freq.	Responsible Person
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The following staff members are authorized to access off-site records:

If there are any specific protocols or restrictions on who can access vital records, list them here.

VIII. MISSION CRITICAL SYSTEMS

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<i>AlertSF</i>	<i>Internet</i>	
<i>EMSystem/First Watch</i>	<i>Internet</i>	
<i>OPWS</i>	<i>1011 Turk Street</i>	<i>Central Radio Station 1 Christmas Tree Point Road</i>
<i>RIMS</i>	<i>Internet</i>	
<i>EAS</i>	<i>Off Site</i>	
<i>EDIS</i>	<i>Internet</i>	

IX. COOP SUPPLEMENTAL DOCUMENTS

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