



ADMINISTRATIVE POLICIES


Office of the City Manager

Policy Number CM-21
Version 2
Effective Date 4/3/2024
Responsible Department City Manager

TITLE: Continuity of Operations Plan (COOP)

- ☒ New
☐ Supersedes AP Number XX-XX, Version X, effective {date}

APPROVAL


City Manager Signature


Date Approved

1. PURPOSE. See attached.
2. SCOPE. See attached.
3. DEFINITIONS. See attached.
4. POLICY. See attached.
5. REVISION HISTORY.

Version #

1

Date

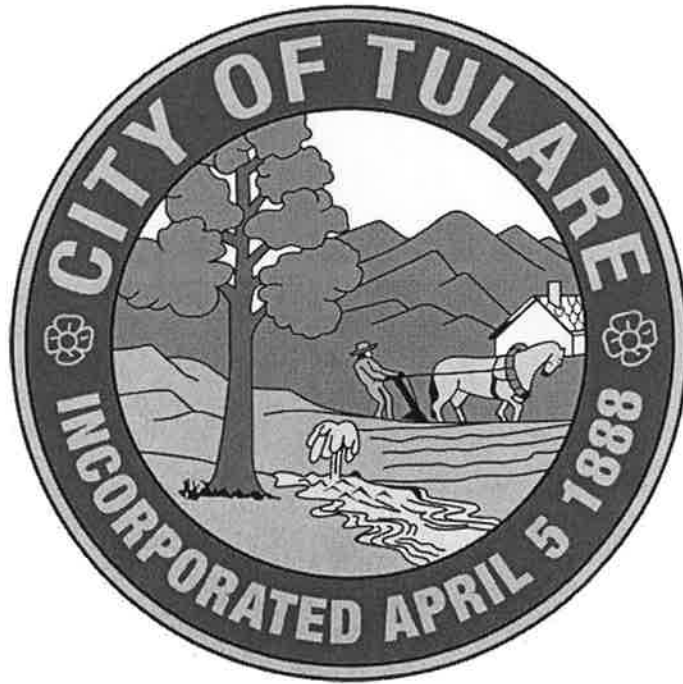
4/3/2024

Reviewed/Approved By

Executive Team; City Manager

Attachments

A. Continuity of Operations Plan (COOP)



**City of Tulare, California Continuity of
Operations / Government
(COOP/COG) Plan**

April 2024

PRIVACY STATEMENT

In its entirety, the Continuity of Operations Plan / Continuity of Government addresses not only high-level overview information about how the City of Tulare responds to different types of disruptions, but also the operational detail necessary to support these disruptions.

Given the sensitivity of some of the information in this plan, the distribution of the plan and its associated documents will be assessed, and appropriate security measures implemented. The City may determine the required level of security for this plan elevates this it to a “For Official Use Only” document, resulting in the control and limited distribution of the plan.

Activation of this plan is authorized by the City Manager, a Department Director, or a designee, while implementation is coordinated by the department leadership and COOP/COG leads or alternates.

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Promulgation Statement

Continuity of operations ensures the continuation of government and the performance of essential functions during and after a disaster or other disruption to normal government operations. Through continuity planning, the City of Tulare will further demonstrate its steadfast commitment to the continuation of these services during an emergency or disaster, and the safety and protection of its citizens, employees, and visitors.

Continuity programs and operations are fundamental practices that allow critical services to remain operational under all conditions. Continuity planning establishes the framework to ensure that each City of Tulare department or division has the ability to carry out its critical mission, regardless of the circumstances that may result from any natural, technological, or intentional disaster.

Marc Mondell, City Manager

Section 1: Introduction

The goal of the all-hazards approach to continuity of operations / government planning is to maintain the City's ability to operate and provide vital services regardless of the emergency. This approach includes preparing for natural emergencies such as earthquakes and flooding as well as technological emergencies and intentional incidents, such as acts of terrorism.

1.1 Plan Purpose

All participating City departments and divisions have the responsibility to plan for and respond to disasters. During a COOP/COG activation, departments may be required to operate from a continuity location and may overextend their resources.

The purpose of the COOP/COG is to provide the framework for City departments and divisions to restore mission essential functions City operations if an emergency disrupts operations. In doing so, the COOP/COG establishes the City's COOP/COG program for addressing three types of disruptions:

- Inaccessibility to a facility (for example, due to building damage, or restricted access due ongoing investigation)
- Inability to provide full services due to a reduced workforce (for example, due to pandemic influenza)
- Inability to provide services due to equipment or systems failure (for example, due to IT systems failure)

The City's COOP/COG program also provides policy and guidance to implement actions to continue mission essential functions within the recovery priority time frames established by the COOP/COG Planning Team and to maintain mission essential functions for up to 30 days.

The City is committed to the safety and protection of its employees, operations, and facilities. This COOP/COG provides the City's departments and personnel a framework that is designed to minimize impact during an emergency. Further, the City COOP/COG establishes procedures that the City leadership can use to strategically minimize risk to its employees, operations, and facilities.

1.2 Applicability and Scope

COOP/COG planning ensures the preservation and reconstitution of the City's mission essential functions. An emergency (such as an explosion, fire, or hazardous materials incident) may require the evacuation of one or more department locations with little or no notice. Building evacuation, if required, is accomplished via implementation of the standard operating procedures for each location. This COOP/COG is not an evacuation plan or an emergency management plan. The purpose of this plan is to facilitate the restoration of daily functions.

The COOP provides the foundation for continuity of critical services and functions across its jurisdiction and is augmented by departmental annexes developed by key department and division personnel. The following annexes are a component of the City's COOP/COG:

- City Administration: City Manager's Office, Mayor & Council and City Clerk
- City Attorney's Office
- Community Services
- Community Development
- Finance Department
- Fire Department
- Human Resources
- Information Technology
- Police Department
- Public Works Department

1.2.1 COOP/COG Organization

The City of Tulare COOP/COG overarching plan provides the framework for City departments to restore mission essential functions for its staff and citizens if an emergency affects its operations.

The COOP/COG annexes provide a guide for each department and division to maintain mission essential functions if an emergency denies access to or destroys the departments or division's primary location, or significantly reduces the capacity to provide services because of workforce reduction or failure of equipment or critical systems. The annexes supplement this document.

1.3 Situations and Assumptions

Situations and assumptions are documented to describe current operating conditions and to establish the parameters under which the plan may be activated.

Situation

- The City of Tulare is a city in Tulare County.
- Tulare is the second largest city in Tulare County.
- The City of Tulare occupies 20.5 square miles.
- The estimated population of City of Tulare in 2020 was 68,875.
- City of Tulare is vulnerable to several hazards, including natural, technological, and human-caused. Please refer to Section 3 of this plan for the complete list of potential hazards for the City.
- The City of Tulare is located in California Mutual Aid Region II and FEMA Region 5.
- The major traffic arteries in City of Tulare include State Highways 99, 137 and 63.

Assumptions

- The COOP/COG may be activated as a result of an emergency response and implementation of the Emergency Operations Plan. Activation of the COOP/COG will occur at the level necessary to resolve the situation.
- During a COOP/COG activation, full or partial, the impacted Departments will defer all non-mission essential functions, as directed by the City Manager.
- During a COOP/COG activation, full or partial, the impacted Departments will perform only the mission essential functions outlined in their respective annex.
- Some members in COOP/COG positions serve in other roles during disasters, such as the Emergency Operations Center (EOC) or department operations center during an activation. During multiple activations, COOP/COG activities will be coordinated through the EOC.
- The City has mutual aid agreements with surrounding jurisdictions that can be activated in the event the City needs assistance in providing critical services in emergencies.
- The City will continue to be exposed to the hazards and risks identified in the COOP/COG as well as other hazards or risks that may develop in the future.
- In the event of a disaster, departments and divisions may rely on each other for assistance.
- In the event of a disaster, resources and personnel may be extremely limited. Resumption of essential services may need to be prioritized and time phased.

1.4 Roles and Responsibilities

During a COOP/COG activation, key positions have been identified to fulfill important roles and responsibilities.

1.4.1 Crisis Assessment Team

In the event of a crisis, the City Manager will notify key department directors and/or management personnel to convene the Crisis Assessment Team (CAT). The CAT initially analyzes the situation and determines if the COOP/COG or a departmental COOP/COG annex will be activated. The CAT may also provide further support through management of the crisis or COOP/COG activation, identifying additional risks and exposures, providing direction and guidance to departments and the organization, and protecting stakeholder interests in response to the incident or disaster. The CAT primarily focuses on:

- Detecting the early signs of an expanding crisis
- Identifying the problem areas and appropriate solutions.
- Preparing a crisis management plan for the immediate emergency situation.
- Determining what internal/external resources are needed in order to continue essential functions for the City or affected department(s).

The CAT may also be disbanded due to the establishment of ICS in the field and the appropriate emergency response department assumes management of the incident. During a disaster of such magnitude that the Emergency Operations Center (EOC) has been activated, the CAT may convene to determine if the COOP activation will be managed through the EOC, or if separate operations would be beneficial.

1.4.2 COOP/COG Administrator Responsibilities

- Approve overall policy directions, guidance, and objectives for COOP/COG planning and activation.

1.4.3 COOP/COG Coordinator Responsibilities

- Coordinate the COOP/COG planning process.
- Serve as the principal representative to internal and external stakeholders and groups during implementation of the COOP/COG.
- Initiate COOP/COG maintenance meetings.
- Coordinate test, training, and exercises of the COOP/COG.
- Serve as the COOP/COG program point-of-contact.
- Facilitate the COOP/COG Planning Team.

1.4.4 COOP/COG Planning Team Responsibilities

- Provide overall recommendations and objectives for COOP/COG planning.
- Coordinate with leadership personnel on policy, development, approval, and maintenance of the COOP/COG and integration of other emergency plans.
- Provide departmental information on essential functions, systems, personnel, and records for COOP/COG planning.
- Conduct reviews of COOP/CPG documents, materials, and the plan.
- Keep the organization informed of any changes to the COOP/COG.
- Establish, coordinate, and participate in the COOP/COG test, training, and exercise program.
- Identify issues that may affect the frequency of changes required to the COOP/COG.
- Develop an improvement plan for addressing risk mitigation recommendations to mitigate continuity-specific risks.

1.4.5 Reconstitution Manager

A reconstitution manager may be assigned as needed and has the following responsibilities:

- Report to the COOP/COG Administrator.
- Form a reconstitution team.
- Develop space allocation and location requirements to meet occupancy regulations.
- Coordinate with regional partners to find suitable space if the primary locations are unusable.
- Develop a plan for reconstitution listing functions and projects in order of priority.
- Assign appropriate staff to ensure buildings are structurally safe.

1.4.6 Responsibilities of Department Leadership

- Identify those functions that can be deferred or temporarily stopped during a COOP/COG activation.
- Consult with and advise appropriate officials during implementation of the COOP/COG.
- Provide direction, guidance, and objectives during an incident for the implementation of the COOP/COG.
- Aid continuity efforts at the continuity facility.

- Participate in training, testing, and exercises of the COOP/COG.
- Initiate appropriate notifications during COOP/COG implementation.
- Provide input on the execution of essential functions.
- Initiate recovery of the organization as part of reconstitution.
- Designate personnel to assist security officials in securing office equipment and files at primary facilities when implementing the COOP/COG.
- Coordinate with leadership personnel for movement of key personnel to continuity facilities when the COOP/COG is activated.

Section 2: Concept of Operations

A Continuity of Operations / Continuity of Government (COOP/COG) plan must be maintained at a high level of preparedness and must be ready to be implemented without significant warning. The City of Tulare COOP/COG is designed to be fully implemented no later than 12 hours after activation and provides guidance to sustain operations for up to 30 days.

The broad objective of the City's COOP/COG is to provide for the safety and well-being of City personnel and the general public. In addition, this plan will facilitate the execution of mission essential functions during any crisis or emergency in which one or more department locations are threatened or inaccessible. Specific annex objectives include the following:

- Enable staff to perform mission essential functions to prepare for and respond to all threats or emergencies, including natural, technological, and human-caused disasters.
- Identify essential employees and supporting staff who will relocate.
- Ensure the continuity facility can support the operations.
- Protect and maintain essential records and databases.

2.1 Objectives

Emergencies often occur with little or no warning, requiring immediate activation of the COOP/COG and commitment of resources. The COOP/COG planning concept of operations is expressed in four operational periods:

- Readiness and Preparedness
- Activation and Relocation
- Continuity Operations
- Reconstitution and Recovery

2.1.1 Readiness and Preparedness

Readiness is the ability of an organization to respond effectively to any event that threatens its ability to continue mission essential functions. It is the responsibility of an organization's leadership to ensure that an organization can perform its mission essential functions before, during, and after all-hazards emergencies or disasters. Readiness and preparedness activities develop the response capabilities needed during an emergency. Planning, training, and exercising are among the activities conducted under this phase. Feedback from these activities should be focused on improving and maintaining the COOP/COG. Mitigation is also a viable part of this phase. Mitigation activities lessen the impact of unavoidable hazards. The Tulare Local Hazard Mitigation Plan guides and prioritizes mitigation activities that the City will need to undertake.

The City of Tulare is establishing a continuity readiness posture through the development of this continuity plan, assigning COOP/COG Leads and Alternates, forming a Continuity Planning Team, a Crisis Assessment Team, conducting COOP/COG planning and training, and other.

continuity readiness and preparedness activities. These activities include the review and revision of COOP/COG related plans, conducting tests, training, and exercises, and risk management.

2.1.2 COOP/COG Activation

Activation occurs after a disruption to business operations triggers the need to activate the COOP/COG. An executive decision must be made after a quick and accurate assessment of the situation to determine the best course of action for the City. Each department has identified a procedure to notify personnel during on-duty emergencies, off-duty emergencies and for ongoing communications in their COOP/COG annex.

Factors Affecting COOP/COG Activation		
	During Duty Hours	During Non-Duty Hours
Event with Warning	<ul style="list-style-type: none"> Essential staff is alerted via on-duty notification procedure prior to activation. Partial activation with notification and deployment of key personnel. Dissemination of messages to City staff and the public. IT issues guidance to City staff for protection of data and equipment. Essential staff will assemble essential records, software, hardware, and other documents and equipment to perform essential functions to prepare for potential activation. Essential staff will back up essential automated databases and prepare designated essential equipment for possible activation. 	<ul style="list-style-type: none"> Essential staff is alerted via off-duty notification procedure prior to activation. Recall of key personnel to report to work for partial/full activation. City staff are provided a briefing on the situation once they arrive at work. IT issues guidance to City staff for protection of data and equipment. Essential staff will report to primary work location to assemble essential records, software, hardware, and other documents and equipment to perform essential functions for potential activation. Essential staff will back up essential automated databases and prepare designated essential equipment for possible activation.
Event without Warning	<ul style="list-style-type: none"> Depending on systems status, essential staff is notified of activation. Depending on the status of primary facilities, staff may evacuate and relocate to a continuity facility. Depending on the status of primary facilities, essential staff may be sent home. IT will take whatever measures possible to protect data and equipment. If possible, essential staff will take essential records, software, hardware, and other documents and equipment in order to perform essential functions if activated. If time permits essential staff will back up essential automated databases and prepare designated essential equipment for activation. 	<ul style="list-style-type: none"> Depending on systems status, essential staff are notified to report to work for partial/full activation. Depending on the status of the primary facilities, essential staff may report directly to a continuity facility. Depending on the status of primary facilities, non-essential staff may be sent home. IT will report to the City to take whatever measures possible to protect data and equipment. If possible, essential staff will report to primary facility to retrieve essential records, software, hardware, and other documents and equipment in order to perform essential functions. IT will report to the City to back up databases and prepare designated essential equipment for activation.

2.1.3 COOP/COG Activation Triggers

The following criteria should be considered when determining the level of COOP/COG activation required for each City Department. These criteria allow for scalable levels of COOP/COG activation, when a full COOP/COG activation focusing on only the City Mission Essential Functions is not warranted. Each criterion may be assessed individually or in

combination for the impact they may potentially have on each City Department's services. Use these when evaluating which services may need to be limited or temporarily discontinued.

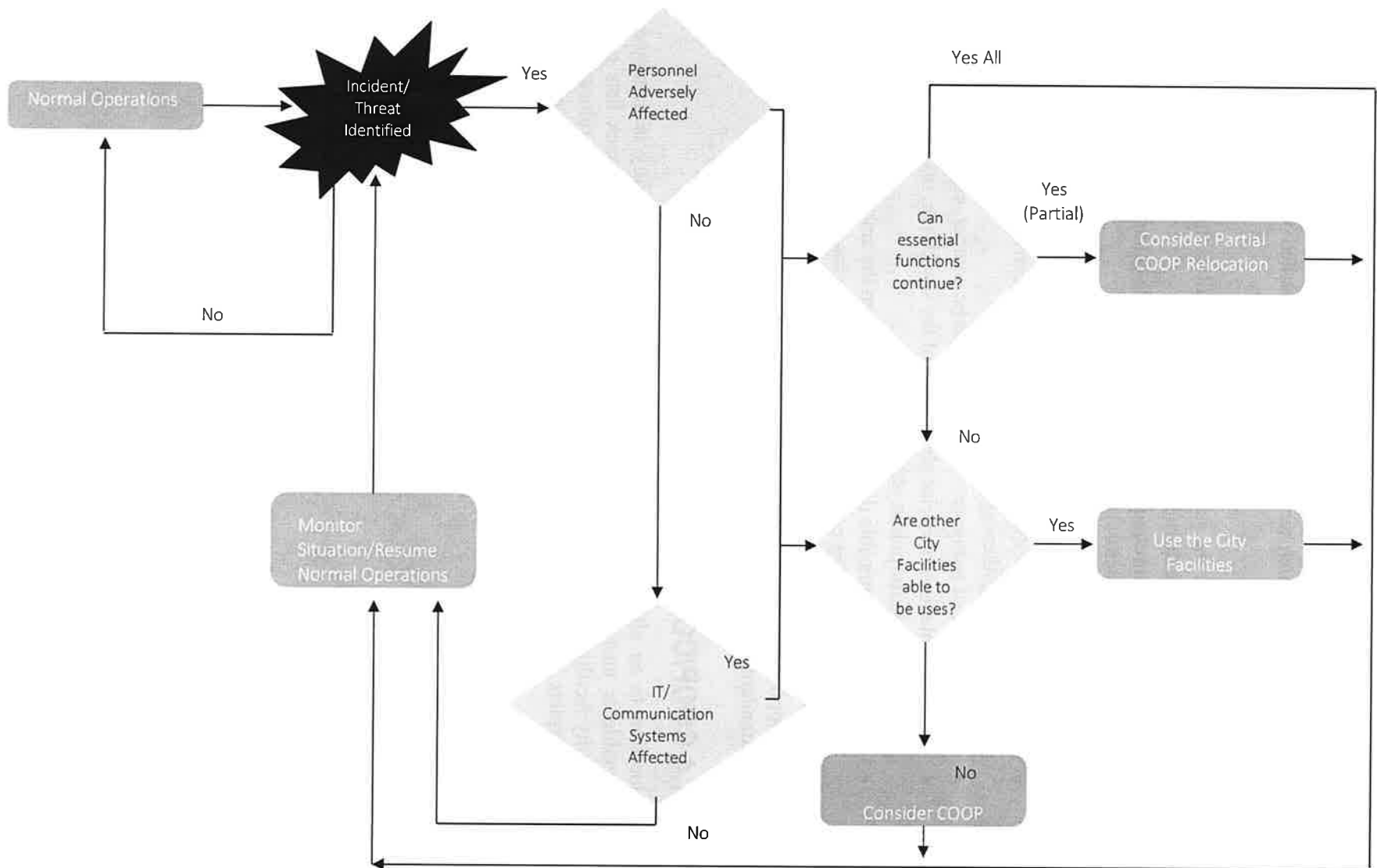
Criteria:

- When resources or the supply chain for commodities the City relies upon for normal operations become disrupted.
- Critical infrastructure required for city operations cannot be maintained due to skilled technicians (contractors) not being available.
- School closures throughout the city and/or county resulting in a significant reduction of employees required to perform public services.
- The County Health Officer issues a protocol / directive related to conducting public services, public gatherings, etc.
- Decline in use of public services (transit, public counter, etc.)
- When absenteeism rates rise above 10% of the workforce, resulting in a critical mass not being available for public services.
- During a communicable disease outbreak, when the amount of people infected, in quarantine, etc. in the community causes concern for or clearly impacts the ability to conduct public services.
- Supplies are unavailable or difficult to access for maintaining adequate disinfection standards at the City's public-facing facilities.

2.1.4 COOP/COG Relocation

Relocation to an alternate facility occurs when a primary facility is damaged and rendered inoperable or unsafe and staff must evacuate. Each department annex lists potential alternate continuity facilities in the event relocation is necessary. Figure 2-1 is a relocation decision matrix which depicts the decision process used to determine if relocation to an alternate facility is necessary.

Figure 2-1
Relocation Decision Matrix



2.1.5 Continuity Operations

The operations phase focuses on continuing mission essential functions:

- Accounting for all personnel
- Performing essential functions
- Establishing communications
- Preparing for reconstitution of all functions

Once the incident has ended, business functions can be resumed.

2.1.6 Reconstitution

Reconstitution is the transition back to normal operations in the primary operating facility. Leadership may designate a reconstitution manager to deal with the complexity of reconstitution issues.

Reconstitution focuses on restoring business operations to normal or improved services. This phase is initiated once all mission essential functions have been restored. Activities associated with reconstitution include:

- Supervising an orderly return to the normal operating facility, a move to another temporary facility, or a move to a new permanent operating facility.
- Verifying that all systems, communications, and other required capabilities are available and operational, and ensuring the capability to accomplish all essential functions and operations at the new or restored facility.
- Identifying if any records were affected by the incident and ensuring the effective transition or recovery of essential records and databases.

Table 1 lists departments that will lead reconstitution efforts.

Table 1: COOP/COG Lead Reconstitution Departments

Situation	Lead Reconstitution Departments
Loss of building	City Manager's Office or Designee
Loss of personnel	Human Resources
Loss of network infrastructure	Information Technology

2.1.7 Alert and Notification Process

Alert Procedures

Depending on the situation, essential staff may be put on alert. Procedures for alerting and notifying staff are in each departmental annex. The orders of succession identify which individuals will be alerted.

Notification Procedures

During an event that triggers COOP/COG activation, each department annex contains the procedures to notify personnel for on-duty emergencies, off-duty emergencies, and ongoing communications.

2.2 Mission Essential Functions

Mission essential functions enable each department to provide vital services for staff and citizens. Each COOP/COG annex is centered on the department's mission essential functions. It serves as an operational guide to facilitate the relocation of department staff to a continuity facility and the backup of critical systems and vital records so that mission essential functions may continue. The level and manner of support needed to continue mission essential functions depends on the nature of an incident.

Each annex includes a list of the department's mission essential functions. For each mission essential function identified, the list also identifies personnel required to execute the function, the level of priority assigned to the function, and the resources required to support the function. Appendix B includes a matrix of the City's essential functions.

2.2.1 Guidelines and Criteria for Prioritization of Mission Essential Functions

In addition to identifying which functions are necessary to support City operations, the recovery time objective (RTO) should be determined for each mission essential function. The RTO is the maximum amount of time the function can be interrupted before it must be restored to an acceptable level of operation after an incident. To ensure that mission essential functions are restored in the order of their time criticality, functions should be categorized using a tier classification system. The following system has been established to prioritize the City of Tulare's mission essential functions according to time criticality.

Table 2: Recovery Time Objective Matrix

Tier	Ratings	Priority
1	IMMEDIATE: These functions have a direct and immediate effect on the organization to ensure the safety of individuals and protect property. These functions must be established within the first 12 hours up to 24 hours.	0-24 hours
2	CRITICAL: These functions can be delayed until Tier 1 functions are restored but must be operational within 72 hours.	24-72 hours
3	NECESSARY: These functions can be delayed until Tier 1 and Tier 2 functions are restored but must be operational within 1 week.	72 hours-1 week
4	IMPORTANT: These functions can be delayed until Tier 1, Tier 2, and Tier 3 functions are restored but must be established within 30 days.	1 week-30 days

If a function is necessary to keep another function operating, then it should have a shorter priority RTO. Such functions include IT systems, building maintenance, and human resources.

2.3 Orders of Succession

Orders of succession are activated when leadership is unable or unavailable to execute their duties during an emergency. Departments must establish, disseminate, and maintain their orders of succession by COOP/COG critical positions. Orders of succession are addressed through internal policy or ordinances. Key personnel for City of Tulare leadership and their successors have been identified in each annex.

2.4 Delegations of Authority

Delegations of authority are specified by City resolutions and policies. Certain incumbents in positions specified in the orders of succession are delegated authority to perform all duties and responsibilities of the department head or leadership when this is required. Delegations of authority for each department are listed in the COOP/COG annexes. Delegation of authority should be exercised only when immediate action is required, and a superior is unable and unavailable to exercise the authority. An individual acting as successor should be relieved of his or her authority once a superior on the list becomes available, is able, and assumes the role of the successor. An individual exercising the authority of a superior should record important actions taken and the period during which the authority is exercised. Planning for delegations of authority involves the following:

- Identifying which authorities can and should be delegated.
- Describing the circumstances under which the delegation would be exercised, including when it would become effective and when it would be terminated.
- Identifying limitations of the delegation
- Documenting to whom authority should be delegated.
- Ensuring designees are trained to perform their emergency duties.

Each departmental annex has identified the authority to be delegated, position holding authority, and limitations to their authority. Delegations of authority for key leadership for the City of Tulare are identified in each annex.

2.5 Critical Resources

Critical resources are the staff, equipment, and systems required to support mission essential functions. During the planning process, the designated COOP/COG Lead coordinated the evaluation of mission essential functions and listed the corresponding equipment and systems.

COOP/COG Planning Team members must ensure that unique critical equipment and critical information system requirements are considered in planning and, if appropriate, identified as capabilities to be provided by support functions at the continuity facilities. Departments and divisions should maintain all necessary and up-to-date files, computer software, and databases required to carry out mission essential functions. Each annex lists the critical systems and critical equipment necessary to reestablish the department's mission essential functions.

2.6 Essential Records

Essential records are records that, if damaged or destroyed, would disrupt operations and information flow, and require replacement or re-creation at considerable expense or inconvenience. In continuity of operations planning, vital records are those records that are necessary to carry out mission essential functions. Content, not media, determines their criticality. Essential records are frequently in one of the following three formats: paper, electronic files, or microfiche.

The City of Tulare COOP/COG Planning Team has identified systems to protect and recover essential records during emergencies and normal operations. Through the planning process, the departments and divisions documented and detailed their vital records. The departments assessed the existing essential records maintenance program and continue to address deficiencies.

The following maintenance strategy has been identified by the COOP/COG Planning Team for departments and divisions to protect essential records:

- There are currently two data centers in the City that provide redundancy in the back up of data.
- Server and application backups are performed nightly. Shares (network files) are backed up every four hours (snapshots). Backups are then replicated to the cloud.
- Office 365 Data is backed up 3 times daily using cloud to cloud services.
- The City uses backup servers and data, then mirroring to save backups from one datacenter to the other.
- IT performs a backup of all databases to the Cloud, twice a day. City of Tulare personnel

are advised to:

- Save data to network drives.
- Scan hardcopy documents to the network drives.
- Manage and retain records as required by state law.

2.7 Continuity Facilities

Each department recognizes that normal operations may be disrupted and that there may be a need to perform mission essential functions at a continuity facility. Each department will coordinate with the Crisis Assessment Team to establish suitable continuity facilities. Section 8 includes a matrix of the City's potential continuity facilities with the resources available in each.

2.7.1 Continuity Facility Assumptions

Selecting continuity facilities is one of the fundamental elements of a COOP/COG. However, the potential costs for ensuring that a continuity facility is available and ready when needed can be significant. Due to the criticality of the continuity facility and the possible costs associated with the site, it is important that the COOP/COG provide departments and divisions with a consistent set of planning assumptions for use in planning for and assessing the viability of continuity facilities.

The following considerations should be made when planning for continuity facilities:

- Ensure that only mission essential functions are performed at the continuity facility.
- Pool resources among departments and divisions to acquire space for a continuity facility.

- Co-locate with another department while providing each with individually designated space to meet continuity facility needs.
- Offer telecommuting, if the essential function allows, as a short-term solution.

The following conditions are necessary for relocation to a continuity facility:

- A departments' primary location has been destroyed or will be unavailable for an extended period.
- Staff is available to perform mission essential functions defined in the COOP/COG.
- Off-site storage facilities and materials survived the event.
- Surface transportation in the local area is possible.
- Staff can be notified and can report to the continuity facility to perform recovery and reconstruction activities.
- Like kind essential resources have been pre-positioned or are available at the continuity facility.
- An adequate supply of critical supplies and provisions is available at the continuity facility or off-site storage.
- Manual processes are documented for mission essential functions where RTOs will not be met due to delays in restoring mechanized systems.
- IT services for a particular mission essential function may not be available.
- The City has control over the continuity facility and/or has pre-positioned contracts to use the location/resource.

2.8 Communications

Communications, or the ability for personnel to communicate internally and externally, is critical during emergencies. The list below identifies communications systems available to the City to communicate with other departments, emergency response units, the media, and external stakeholder agencies and organizations:

- Land line phone (voice/fax) system
- Internet access, E-mail, and City website
- Two-way radios (public safety)
- Alert TC (Tulare County) Emergency Alert Notification System
- First Net Cell phone bank
- Alerts on local radio stations

Critical information systems used to accomplish mission essential functions during normal operations at the primary location must be accessible at the continuity facility. In addition, City personnel should make sure that critical data is stored in such a way that it can be backed up regularly. Each department will coordinate with the IT Department on the specific technical support needed during COOP/COG activation.

Access to critical information systems used to accomplish mission essential functions. The following chart describes each of the communication systems that might be used, the department

responsible for maintaining the system, and the key personnel responsible for updating and implementing these systems when needed.

Table 3: City Communications Systems Matrix

Communication System Name	System Description	Responsible Department
Land line phone	Office phones to use as a primary source of communications.	IT
Internet Access, Email and City website	Access to the Internet through City computers and other devices. Messages sent via email and posted on City website.	IT
Police and Fire Radios	Two-way radios	Police/Fire Department/ IT
Web-based communications	Remote Meetings using online tools like Zoom, Microsoft Teams, or Blue Jeans	IT
First Net Phones	The Police department maintains a battery of First Net cellular phones. These phones are given priority during emergencies	Police/Fire Department/ IT
Amateur Radios	The use of radio frequency spectrum for purposes of non-public safety commercial exchange of messages.	Office of Emergency Preparedness
Alert TC	Alert TC is a free emergency notification service that provides Tulare County first responders the ability to notify residents and businesses by telephone, mobile phone, text message, email, and social media regarding time-sensitive emergency notifications.	Police and Fire Departments
Everbridge	Everbridge is a notification service that provides the ability to rapidly communicate to city employees by telephone, mobile phone, text message, and email regarding time-sensitive emergency notifications.	Police/Fire Departments

2.9 Devolution of Command and Control

Devolution is the transfer of legal and statutory obligations from one entity to another entity at a continuity facility or devolution site. The devolution option may be used when the organization's primary operating facility, alternate site, and/or staff are not available. Devolution requires the transition of roles and responsibilities for performance of essential functions through pre-authorized delegations of authority and responsibility. The authorities are delegated from an organization's primary operating staff to other employees internal or external to the organization to sustain essential functions for an extended period. Devolution supports the overall COOP/COG and ensures the continuation of mission essential functions. In this situation, management and leadership responsibility, and mission essential functions will devolve to the designated devolution department or agency.

The City of Tulare has the following devolution agreements in place:

- Various departments have mutual aid agreements and may have inter-local agreements between emergency response agencies, such as law enforcement and fire and rescue services.
- The City of Tulare has an agreement with the County of Tulare to devolve City authority and responsibilities to the County in the event the City's primary locations are incapacitated and personnel are unable to deploy to designated continuity facilities.

Section 3: Risks, Vulnerabilities, and Mitigation Strategies

The FEMA Continuity Guidance for Non-Federal Governments recommends a risk assessment of the vulnerability of the organization and its essential functions to the identified hazards be completed (CGC 1 Annex B, Page B-5). The City of Tulare's vulnerability depends on the probability of an event occurring and the impact the event could have on personnel, facilities, infrastructure, operations, and the performance of essential functions.

The County of Tulare Local Hazard Mitigation Plan, March 2023, (LHMP) conducted a quantitative assessment of how each hazard affects the city and critical facilities. A comprehensive vulnerability and risk assessment for the City of Tulare can be found in Annex F on pages 532- 554 of the Tulare County 2023LHMP.

For the purposes of this plan the hazards that could potentially pose a threat to the City of Tulare include:

Natural Hazards	Technological Hazards	Human Caused Hazards
<ul style="list-style-type: none">▪ Climate Change▪ Earthquake: Shaking▪ Fire▪ Floods▪ Fog▪ Drought▪ Fires▪ Extreme Heat▪ Severe Storms and High Winds	<ul style="list-style-type: none">▪ Dam Failure▪ Hazardous Materials Incidents▪ Mass Casualty Incidents▪ Building Collapse or Explosion▪ Train or Airplane Crash▪ Energy Emergency -Utility Outage	<ul style="list-style-type: none">▪ Terrorist Attacks▪ Civil Disturbance▪ Cyber Attacks▪ Public Health Emergencies

The hazard mitigation plan identifies 68 critical facilities for incorporation in the hazard vulnerability and risk analysis. A complete vulnerability and risk assessment was completed for all facility types, including City-owned utilities. The critical facilities include 16 city facilities, 3 fire facilities, 8 government center facilities, 2 healthcare and hospital facilities, and 45 utility facilities. In addition, facilities such as hospitals, school facilities and dams provide the ability to protect important services and could cause further harm if damaged.

Creating viable options for managing risks and vulnerabilities is done through deciding on and implementing risk management strategies and actions. Continuity elements related to hazard risk and vulnerabilities include human capital, alternate facilities, interoperable communications equipment and systems, vital records and databases, and other vital equipment and systems. The actions related to continuity elements identified in the LHMP include:

To prepare for a continuity event, each department in the city must be prepared to handle three types of emergencies: 1) a localized emergency requiring relocation to an alternate site; 2) a widespread emergency requiring relocation to an alternate site; 3) and a widespread emergency NOT requiring relocation to an alternate site.

The indicators for the types of emergencies and corresponding COOP/COG relocation activities are listed below:

1. Localized Emergency Requiring Relocation to Alternate Site
 - A city government facility sustained damage.
 - All other city government facilities are not affected.
 - COOP/COG alternate sites are available.
 - The facility is currently closed for normal business activities, but the incident has not affected surrounding buildings, utilities, or transportation systems.
 - Operations can shift to an alternate COOP/COG location in the jurisdiction.
2. Widespread Emergency Requiring Relocation to Alternate Site
 - A city government facility sustained damage.
 - The surrounding area is affected.
 - COOP/COG alternate sites may or may not be available.
 - Parts of major infrastructures (power, sewage, transportation, etc.) may have sustained damage.
 - Operations can shift to an alternate location within the jurisdiction or a neighboring jurisdiction.
3. Widespread Emergency NOT Requiring Relocation to Alternate Site
 - A city government facility did not sustain damage and remains open.
 - One or more departments of the city government experiences high levels of employee absenteeism.
 - COOP/COG operations will be conducted from the primary location and/or via telecommuting.

Section 4: Multiyear Strategy and Program Management

City leadership and the COOP/COG Planning Team will develop standards to help departments and divisions implement the COOP/COG program. While the plan and annexes serve as the guide during activation and recovery, the COOP/COG program involves the framework for operational decisions to promote continuity planning. It involves making continuity planning a part of day-to-day operations through initiatives like monitoring protection methods for essential records, inventorying critical systems and equipment, implementing cross-training for critical employees, and establishing mutual aid agreements for facilities and personnel, etc. The COOP/COG program ensures that the plan reflects the current environment and that staff members are prepared to respond during an activation.

Plan revisions due to changes in the structure, mission essential functions, or mission of participating departments should be made promptly. Long-term plan maintenance should be undertaken carefully, planned for, and completed according to an established schedule.

During the development of this plan, the COOP/COG Planning Team identified the following plan maintenance strategies:

- Distributing and communicating the COOP/COG to City departments and divisions.
- Allowing departments and divisions to develop and maintain their own COOP/COG annexes if they do not conflict with the City's strategy and maintenance processes.
- Ensuring departmental review of the overarching plan and annexes.
- Identifying issues that affect the frequency of changes required to the COOP/COG.
- Establishing a review cycle.

Table 4 provides a guide to the COOP Planning Team for scheduled maintenance and updates of the COOP.

Table 4: Plan Maintenance Strategy

Activity	Tasks	Frequency	Responsibility
Update and certify plan.	<ul style="list-style-type: none">▪ Review entire plan for accuracy.▪ Incorporate lessons learned and changes in policy and philosophy.▪ Manage distribution.	Annually	Departments/divisions review annexes. Executive Team reviews overarching COOP.
Maintain orders of succession and delegations of authority.	<ul style="list-style-type: none">▪ Identify current incumbents.▪ Update rosters and contact information.	Annually	Departments/divisions
Maintain continuity location readiness.	<ul style="list-style-type: none">▪ Check all systems.▪ Verify accessibility.▪ Cycle supplies and equipment as necessary.	Monthly	Departments/divisions

Activity	Tasks	Frequency	Responsibility
Monitor and maintain essential records program.	<ul style="list-style-type: none"> Monitor volume of materials. Update/remove files. 	Ongoing	Departments/divisions
Update contact information for key personnel.	<ul style="list-style-type: none"> Confirm/update key personnel information. 	As changes occur, or no less than quarterly	Departments/divisions
Make new staff aware of COOP.	<ul style="list-style-type: none"> Conduct COOP awareness training for new staff. 	Within the first 60 days of employment	Departments/divisions
Orient new senior leadership.	<ul style="list-style-type: none"> Brief senior leadership on existence and concepts of the COOP overarching plan and each departmental annex. Brief senior leadership on their responsibilities under the COOP overarching plan and each departmental annex. 	Within the first 30 days of employment	City Administration
Plan and conduct exercises.	<ul style="list-style-type: none"> Conduct internal COOP exercises. Conduct joint exercises with the state and local emergency management agencies. 	Annually	Emergency Management Staff

Section 5: Test, Training, and Exercise

The test, training and exercise program will ensure that department employees are aware of their roles and responsibilities in COOP/COG implementation. Regularly scheduled exercises are critical to ensuring that the plan can be implemented during an emergency. Exercising is one of the most effective ways to discover and document necessary modifications. The test, training and exercise program should be progressive in nature, building from simple, individual tasks to complex, multi-organizational interactions. The program should contain activities that include build-on training and improve capabilities through a series of tests and exercises.

5.1 Training

The following subject matter should be considered for the COOP/COG training program:

- Mission essential functions and operations
- Operational elements of the overarching COOP/COG and departmental annexes
- COOP/COG triggers, activations, and decision-making
- Continuity facilities and resumption of normal operations
- Leadership during a COOP/COG activation
- Safety strategies and policies including proper use of personal protective equipment.

5.1.1 New Personnel

All new personnel working for the City shall receive COOP/COG awareness training as part of their new employee orientation from their individual department and/or work location. The training will be conducted within 60 days of an employee's first day of employment. If a new employee is designated as essential, his or her contact information will be updated on the department's internal call list. Each department is responsible for providing job-specific COOP/COG and safety training for all new employees in their department.

5.2 Testing Program

Testing is demonstrating if the equipment, procedures, processes, and systems that support the local government's mission essential functions are operating correctly. Testing reveals whether equipment and systems conform to specifications and operate in the required environments. Testing validates or identifies for correction specific aspects of a COOP procedures and processes. Periodic testing also helps ensure that equipment and procedures are maintained in a constant state of readiness.

5.2.1 Testing Schedule

It is recommended that testing and exercise plans provide for the following elements:

- Testing staff as part of the City’s exercise program to ensure the ability to perform mission essential functions.
- Periodically testing alert and notification procedures and systems for all types of emergencies.

5.3 Exercises

Individual and collective exercises that vary in size and complexity will be conducted to validate elements of the COOP/COG. Exercises will realistically simulate an emergency so that individuals and departments and divisions can demonstrate fulfillment of tasks expected of them in a real incident. Exercises promote overall preparedness; validate plans, policies, procedures, and systems; determine effectiveness of command, control, and communication functions; and evaluate preparation for incident scene activities.

5.3.1 After Action Report

The evaluation of exercises or actual incidents will identify areas for improvement and provide recommendations to enhance local government preparedness. Following the exercise or actual incident, a comprehensive debriefing and after-action report will be completed. The Emergency Manager, or a designee, will be responsible for coordinating the debriefing and developing the after-action report. All data collected will be incorporated into an improvement plan that provides input for annual COOP/COG revisions.

Section 8: Continuity Facilities Matrix

COOP PROPERTY LIST	Bathroom	Conference room Capacity	Generator	AED/First Aid	City Computer/ Phone Network*	Wi-Fi	Kitchen	Showers
Station 61 -large training room	X	50		X	X	X	X	X
Station 62	X	5	X	X	X	X	X	X
Station 63	X	5	X	X	X	X	X	X
Fleet - upstairs	X	25	X	X	X	X	X	
City Yard (Streets)	X	8		X	X	X	X	
Police Station -Briefing room	X	20	X	X	X	X	X	X
City Hall	X	25, 4	X	X	X	X	X	
Library (Charter room)	X	20		X	X	X	X	
Library (Olympic room)	X	20		X	X	X	X	
Senior Center -Ball room	X	50		X		X	X	
Senior Center -Cascade room	X	10		X			X	
Senior Center -Bill Thompsom	X	5		X			X	
Meitzenheimer – Large Room	X	40		X			X	
Meitzenheimer -Conference room	X	5		X	X		X	
Meitzenheimer -Activities center	X	30		X			X	
Youth Center (H Street) -Gym	X	100		X			X	
Youth Center (H Street) -Club chaos	X	60		X			X	
Youth Center (H Street) -Conference room	X	15		X			X	
Waste Water Treatment	X	5	X		X	X		
Civic Affairs building	X	20			X	X	X	
Prosperity sports park	X	50			X		X	

*Network Connection Volumes and speeds vary by Facility

Section 9: City Mission Essential Functions

Mission Essential Functions must be performed during a disruption to normal operations and must continue performance during emergencies. Mission Essential Functions are both important and urgent. Functions that can be deferred until after an emergency are identified as non-Essential.

Mission Essential Functions for the City of Tulare were determined based off the following criteria:

1. Any function that could directly impact the life safety of the public and/or city staff if not continued.
2. Statutes, laws, executive orders, or directives that charge the organization with responsibility to perform missions.

Table A lists the Mission Essential Functions identified by each City Department in priority order for Recovery Time Objectives (RTO). The RTO is the maximum amount of time the function can be interrupted before it must be restored to an acceptable level of operation after an incident. The following system has been established to prioritize the City of Tulare's Mission Essential Functions according to time criticality.

Tier	Ratings	Priority
1	IMMEDIATE: These functions have a direct and immediate effect on the organization to ensure the safety of individuals and protect property. These functions must be established within the first 12 hours up to 24 hours.	0-24 hours
2	CRITICAL: These functions can be delayed until Tier 1 functions are restored but must be operational within 72 hours.	24-72 hours
3	NECESSARY: These functions can be delayed until Tier 1 and Tier 2 functions are restored but must be operational within 1 week.	72 hours-1 week
4	IMPORTANT: These functions can be delayed until Tier 1, Tier 2, and Tier 3 functions are restored but must be established within 30 days.	1 week-30 days

Table B: Prioritized Mission Essential Functions

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
City Administration	Communication with Council, Staff, and the Public	City Manager maintains oversight, coordination, and communication with Council, Staff, and the public.	Tier 1: 0 to 24 hours
City Administration	Conduct Council Directives	Organize and convene Council emergency meeting(s), including emergent topics such as declaring an emergency. CM sets Council meeting agendas with Mayor.	Tier 1: 0 to 24 hours
City Attorney	Council Support	Provide emergency-related legal support to Council including preparation of emergency-related Proclamations; Resolutions; Ordinances; etc.	Tier 1: 0 to 24 hours
City Attorney	Department Support	Provide emergency-related legal support to management and departments including preparation, review, and approval of emergency-related Contracts; MOUs; Opinions; etc.	Tier 1: 0 to 24 hours
City Attorney	Litigation Support	Conduct emergency-related litigation requiring judicial order (warrants; rights of entry; takings; quarantine; curfew, etc.)	Tier 1: 0 to 24 hours
Community Development	Building Permitting	Issuance for life/safety and regulatory laws	Tier 1: 0 to 24 hours
Community Development	Engineering Permitting	Issuance for life/safety and regulatory laws	Tier 1: 0 to 24 hours
Community Development	Entitlements	Processing of life/safety/hazard permits and regulatory priority entitlements	Tier 1: 0 to 24 hours
Community Development	Building Inspection/Code Enforcement	Inspection of issued permits	Tier 2 (24-72 Hours)
Community Development	Engineering Inspection	Inspection of issued permits	Tier 2 (24-72 Hours)
Community Services	Community Outreach	Community-wide and business-specific communication regarding service delivery availability	Tier 2 (24-72 Hours)
Community Services	Sustain homeless shelter operations and services	Homeless Shelter operations and services	Tier 2 (24-72 Hours)
Community Services	Provide Staff Child Care	Provide childcare for staff to be able to perform work duties	Tier 2 (24-72 Hours)
Community Services	Repurposing of facilities to potential City staff office space	Center can be used as office space in case of power shut off or other office spaces closed.	Tier 2 (24-72 Hours)

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Community Development	Allocation and payment of federal funds	Allocation and payment of federal funds	Tier 4 (1 Week-30 Days)
Community Development	Perform contractual obligations	Continue to perform contractual obligations help by Department with the public.	Tier 4 (1 Week-30 Days)
Community Services	After School Programs	Providing after school programs utilized by parents for childcare.	Tier 4 (1 Week-30 Days)
Emergency Operations Center	Alert and Warning	Provide timely and accurate alert and warning to Tulare residents.	Tier 1: 0 to 24 hours
Emergency Operations Center	Provide Field Support	Coordinate with field operations to provide requested support.	Tier 1: 0 to 24 hours
Emergency Operations Center	Public Information	Provide direct support to residents impacted by the disaster by delivering routine and timely informational updates.	Tier 1: 0 to 24 hours
Emergency Operations Center	Safety Damage Inspections	Inspect critical city facilities and infrastructure to ensure they are safe to remain operational, to include city owned bridges.	Tier 1: 0 to 24 hours
Emergency Operations Center	Emergency Shelter	Provide direct support to residents impacted by the disaster by operating emergency shelter during evacuations.	Tier 2: 24 to 72 hours
Finance	Assess Cash Flow	Ensure that adequate liquid funds will be available to meet needs	Tier 1: 0 to 24 hours
Finance	Process Payroll	Process employee timecards and issue paychecks/ACH deposits (depending on when event occurs)	Tier 1: 0 to 24 hours
Finance	Critical A/P Payment Processing	Process child support and landlord payments (depending on when event occurs)	Tier 1: 0 to 24 hours
Finance	Operate the Warehouse of needed Materials	Issue supplies/water/first-aid products/fuel to potential depts. impacted	Tier 1: 0 to 24 hours
Public Works	Read Meters – Process Starts/Stops of Water Service	Read meters/process starts and stops of water service – Bring in meter reads from	Tier 2: 24 to 72 hours

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Finance	Cash Collection	Armored Car picks up cash	Tier 2: 24 to 72 hours
Information Technology	Water Billing	Generate customer water bills. Bring in meter reads	Tier 2: 24 to 72 hours
Finance	PERS, Electronic File Transfers and Tax Reporting	Depending on when event occurs, state and federal concrete deadlines	Tier 3: 72 hours-1 week
Finance	1099 and Sales Tax Return	Ongoing maintenance process prior to January 31 due date of each year	Tier 4: 1 week – 30 days
Fire Department	Operations Response Capabilities	The ability to effectively respond to and mitigate all-risk emergency events that occur in the community. **Note: scalable based on situation.**	Tier 1: 0 to 24 hours
Fire Department	Fire Prevention Response Capabilities	The ability to maintain the capabilities of the Fire Prevention Bureau as it relates to immediate and critical life safety protection as well as adhere to Federal, State, and local laws and statutes.	Tier 2: 24 to 72 hours
Human Resources	Internal Services <ul style="list-style-type: none"> Employee Census Consultation and compliance 	<ul style="list-style-type: none"> In addition to general concern about employee safety and the need to staff positions, employers are legally required to report all occupational serious injuries/fatalities within 8 hours or face \$5,000 fine per occurrence. Comply with and answer urgent questions regarding MOUs and employment laws, regulations, and policies. Maintain and process emergency employment transactions and other essential/required records. 	Tier 1: 0 to 24 hours
Human Resources	Risk Management Services <ul style="list-style-type: none"> ADA Compliance Injury Response Safety and Claims Alcohol and Drug Testing 	<ul style="list-style-type: none"> Respond as necessary to ADA requests or complaints related to event or related to any City services or programs. Report employee injuries within 24 hours of incident to LWP and mandatory reporting to OSHA within 8 hours of serious injuries. Coordinate with Liability Claims contact (RMS) and prepare response plan relevant to incident. Develop Safety Plan. For safety-sensitive (DOT) employees, immediate drug/alcohol testing required for post-accident or reasonable suspicion. Immediate action required for positive test results. 	Tier 1: 0 to 24 hours

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Human Resources	Staffing Maintenance	Maintain coordination with EOC, Payroll and City departments to ensure adequate staffing including recruitment and onboarding of temporary help, and compliance with employment laws and regulations, as other departments come on-line with normal operations.	Tier 2: 24 to 72 hours
Human Resources	Consultation and Compliance	Prioritize, advise, and assist managers handling critical personnel-related matters and resolving conflicts. Maintain position control, personnel files, employment transactions and other records. Respond to time-critical requests from other agencies as required by law. Administer leaves.	Tier 2: 24 to 72 hours
Human Resources	Benefits	Entry of health and/or retirement benefit data and tracking. Required w/in 30 days of qualifying events.	Tier 4: 1 Week to 30 Days
Information Technology	EOC IT Infrastructure Support	Ensure IT infrastructure is available in the EOC. (Terminal Servers, Network, phones, copier, smart terminal connectivity, AV System, Internet, any related EOC systems)	Tier 1: 0 to 24 hours
Information Technology	GIS Functionality	Ensure access to GIS systems are working. (Online and On-Prem)	Tier 1: 0 to 24 hours
Information Technology	IT Helpdesk	Have an operational Helpdesk	Tier 2: 24 to 72 hours
Information Technology	Application Maintenance Support	Find staff to assist in any applications that need support	Tier 2: 24 to 72 hours
Information Technology	Citywide Infrastructure Support	Bring up essential City systems not related to EOC	Tier 3: 72 hours to 1 week
Police Department	Receive emergency calls	9-1-1 or emergency 7-digit calls	Tier 1: 0 to 24 hours
Police Department	Respond to emergency calls	Respond to emergency calls in the city	Tier 1: 0 to 24 hours
Police Department	Investigate missing people	Conduct investigations related to missing people	Tier 2: 24 to 72 hours
Police Department	Warrant responses	Receive and validate warrants responses	Tier 2: 24 to 72 hours
Police Department	Police Reports	Take all mandated police reports	Tier 2: 24 to 72 hours
Police Department	Custody paperwork for District Attorney/Courts	Process in custody paperwork for District Attorney/Courts	Tier 3: 72 hours to 1 week
Public Works/Transit	Bus Service	Provide bus service in Tulare.	Tier 1: 0 to 24 hours

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Public Works/Transit	Paratransit Service	Provide bus service for vulnerable citizens.	Tier 1: 0 to 24 hours
Public Works	Maintain Fleet	Maintain vehicles involved in essential functions.	Tier 1: 0 to 24 hours
Public Works	Traffic Signal Operations / Safety Lighting	Maintain traffic signals for traffic flow throughout the city and to support emergency response. Response to knockdowns when live wires are exposed.	Tier 1: 0 to 24 hours
Public Works	Traffic Control	Maintain organized travel routes to reduce traffic congestion	Tier 1: 0 to 24 hours
Public Works	Transportation of Supplies	Support the delivery of large quantities of essential supplies.	Tier 1: 0 to 24 hours
Public Works	Underground Service Alert (USA) mark outs	Mark underground utility lines when a request is submitted for excavation. Injury may result if location of lines is not properly identified.	Tier 2: 24 to 72 hours
Water	Deliver potable drinking water for firefighting, domestic and commercial use	Assess system damage, secure all water leaks, determine water availability, and monitor storage levels, monitor pump station operational status, make system repairs, meet regulatory requirements.	Tier 1: 0 to 24 hours
Water	Collect wastewater and deliver to treatment plant. Conduct reporting to regulatory agencies.	Assess system damage, document overflow locations, locate areas of damaged pipe, monitor lift station operational status, make system repairs.	Tier 1: 0 to 24 hours
Water	Treat and dispose of wastewater	Assess damage to Treatment Plant, maintain treatment plant operations, divert flows if un-operational.	Tier 1: 0 to 24 hours
Water	Conduct water quality sampling	Ensure potable water system remains safe for consumption and complies with state and federal rules and regulations pertaining to drinking water standards. Crews sent to take water samples from various sample stations located throughout the potable water system.	Tier 1: 0 to 24 hours
Water	Customer Service Calls	Respond to customer-related water and wastewater issues (lets us know water/system issues that could be critical)	Tier 1: 0 to 24 hours
Water	Underground Service Alert (USA) mark outs	Mark-out local water/wastewater/urban reuse underground assets when called upon by USA North (legal requirement)	Tier 1: 0 to 24 hours
Water	Respond to customer calls related to pressure, flow, taste, odor, turbidity	Allow us to identify system issues that may be critical.	Tier 2: 24 to 72 hours

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Water	Implement Laboratory Information Management System database	TITAN must be operational so samples can be logged in for analysis whether testing is performed in house or subbed out. LIMS must also be operational to retrieve results.	Tier 2: 24 to 72 hours
Water	Provide maintenance services for critical operations equipment.	Maintenance or repair of critical treatment plant or other Regional equipment will likely be needed.	Tier 2: 24 to 72 hours
Water	Monitor and report all non-storm water runoff and discharges into the local waterways	Respond to, control, and stop impact all non-storm water runoff into the waterways. Take samples, report, and enforce.	Tier 2: 24 to 72 hours



Section 10: Continuity of Operations/ Government Planning Leads

Table 1
Continuity of Operations (COOP/COG) Key Positions Administrator

COOP/COG Administrator	
City Administration	Position: City Manager or Designee

Table 2
COOP/COG Leads and Alternates

Department	COOP/COG Lead	COOP/COG Alternate
City Administration	Position: City Manager	
City Attorney	Position: City Attorney	
Community Development	Position: Community Development Director	
Engineering and Project Management	Position: City Engineer	
Emergency Operations Center	Department: Fire Department	
Community Services	Position: Community Services Director	
Finance	Position: Chief Financial Officer	
Fire	Position: Fire Chief	
Human Resources	Position: HR Director	
Information Technology	Position: Chief Technology Officer	
Police	Position: Police Chief	
Public Works	Position: Public Works Director	

Section 11:

Continuity of Operations/Government Plan Activation Checklist

During a disruption to City operations, department leadership and COOP/COG Planning Leads or Alternates will guide key personnel and staff while they activate the COOP/COG. The COOP/COG activation job aid is designed to facilitate a smooth transition through activation and relocation, continuity operations, and reconstitution. While reconstitution tasks are listed after continuity operations tasks in the job aid, it is generally understood that continuity operations and reconstitution tasks will be performed concurrently.

Table E-1
COOP/COG Planning Leads/Alternates Job Aid

Item	Task	Task Assigned To	Date/Time Completed
Activation and Relocation			
1	Contact emergency responders (fire, police, emergency medical services) if necessary.		
2	Conduct evacuation of City facilities, if necessary.		
3	Conduct accountability of personnel and visitors.		
4	Implement safety measures.		
5	Contact maintenance manager to disconnect utilities and power to the building to limit further damage.		
6	Direct and assist emergency personnel as required.		
7	Activate COOP.		
8	Notify City personnel.		
9	Hold response meeting at pre-determined site or via phone. Utilize alternate communication equipment if telecommunications infrastructure is unavailable.		
10	Coordinate relocation procedures in coordination.		
11	Notify external stakeholders of COOP activation.		
12	Assemble supporting elements required for reestablishing and performing mission essential functions at continuity facility: <ul style="list-style-type: none"> ▪ Essential records and databases ▪ Critical software ▪ Key personnel ▪ Critical equipment 		

Item	Task	Task Assigned To	Date/Time Completed
13	Prepare designated communications and other equipment for relocation.		
14	Take appropriate preventive measures to protect other communications and equipment that will not be relocated.		
15	Ensure computer connectivity and phone line transfers to the designated continuity facility.		
16	Ensure drive-away kits are complete and ready for transfer.		
17	Key personnel begin moving to the continuity facility.		
18	Coordinate public information release regarding COOP activation with the Public Information Officer.		
19	Coordinate with the Finance Department to track all expenses and resources related to the emergency.		
Continuity Operations			
20	Conduct accountability of personnel.		
21	Organize key personnel and account for backup personnel.		
22	Arrange for: <ul style="list-style-type: none"> On-site telephone E-mail and phone directory 		
23	Occupy workspace: <ul style="list-style-type: none"> Stow equipment. Set up vital files, records, and databases. Test phone, fax, e-mail, and other communications. Establish communications with essential support elements and department elements. 		
24	Determine which mission essential functions have been affected.		
25	Prioritize mission essential functions for restoration.		
26	If needed, implement orders of succession and delegations of authority.		
27	Ensure that all critical equipment, critical software, and vital files, records, and databases are available at continuity facility.		
28	Coordinate procurement of additional equipment, as needed.		
29	Begin performing mission essential functions.		
30	Coordinate public information release on the status of COOP implementation with the Public Information Officer.		

Item	Task	Task Assigned To	Date/Time Completed
31	Track status and restoration efforts of all mission essential functions.		
32	Begin redeployment plans for phasing down continuity facility operations.		
Reconstitution			
33	Inform all personnel that the emergency or threat no longer exists.		
34	Communicate with municipalities about response reentry actions.		
35	Resume normal operations.		
36	Inventory and salvage usable equipment, materials, records, and supplies from damaged facility.		
37	Document any damaged or lost equipment and records.		
38	Survey condition of primary locations and determine feasibility of salvaging, restoring, or returning to original facilities when emergency subsides or is terminated.		
39	Develop long-term reconstitution and recovery plans.		
40	Continue to track status and restoration efforts of all mission essential functions.		
41	Transition all functions, personnel, and equipment from continuity facility to designated permanent location.		
42	Track COOP activation-related costs for possible federal reimbursement.		
43	Determine loss of inventory for insurance report.		
44	Coordinate public information release on the status of reconstitution efforts with the Public Information Officer.		
45	Conduct an after-action review of the effectiveness of the COOP and identify areas for improvement.		
46	Develop a corrective action plan and remedial action plan.		
47	Request reimbursement through public assistance.		

Section 12:

COOP/COG Relocation Checklist

As the department leadership and COOP/COG Planning Leads or Alternates prepare to relocate key personnel, the following procedures will provide guidance to successfully maintain mission essential functions at a continuity facility.

Table F-1
COOP/COG Relocation Checklist

Item	Task	Task Assigned To	Date/Time Completed
1	Designate a relocation manager(s) and prepare relocation checklist in support of the COOP.		
2	Identify areas where outside support will be required in relocation operations; activate memoranda of understanding, vendor contacts, and other agreements as necessary to ensure site support.		
3	Assemble necessary documents and equipment required to continue mission essential functions at the continuity facility.		
4	Order additional resources (including equipment and office supplies) that are not in place or readily available.		
5	Continue mission essential functions at the primary location, if available, until the continuity facility is operational.		
6	Support the orderly transition of all mission essential functions, personnel, equipment, and vital records from the primary location to the continuity facility.		
7	Identify mission essential functions that can be delayed or postponed if the COOP is implemented.		
8	Provide for the proper storage of backup copies of essential records and other pre-positioned resources and assets.		
9	Designate available staff to assist arriving key personnel.		
10	Conduct COOP training for all key personnel arriving at the continuity facility.		
11	Support the orderly transition of all mission essential functions, personnel, equipment, and vital records from the continuity facility to the primary location.		

Acronyms

CAT	Crisis Assessment Team
COG	Continuity of Government
COOP	Continuity of Operations
CGC	Continuity Guidance Circular
EOC	Emergency Operations Center
FEMA	Federal Emergency Management Agency
FOUO	For Official Use Only
IT	Information Technology
LAN	Local Area Network
NIMS	National Incident Management System
RTO	Recovery Time Objective
SEMS	Standardized Emergency Management System

Definitions

Activation – When all or a portion of the COOP has been implemented.

Continuity of Operations/Government – The activities of individual units and agencies and their subcomponents to ensure that their mission essential functions are continued under all circumstances. This includes plans and procedures that delineate mission essential functions; specify orders of succession and delegations of authority; provide for the safekeeping of vital files, records, and databases; identify continuity facilities; provide for interoperable communications; and validate the plan through tests, training, and exercises.

COOP/COG Administrator – Responsible for approving overall policy directions, guidance, and objectives for COOP planning and activation. This position is fulfilled by the City Manager.

COOP/COG Coordinator – May be responsible for overall recovery of a department. This person also provides overall project management to ensure the quality and timely delivery of the business impact analysis, vulnerability/risk analysis, and Business Continuity Planning.

COOP/COG Essential Personnel – Personnel designated by their department as critical to the resumption of mission essential functions and services.

Command and/or Control Center – A centrally located facility with adequate phone lines to begin recovery operations. Typically, it is a temporary facility used by the management team to begin coordinating the recovery process and is used until the continuity facilities are functional.

Communications Failure – An unplanned interruption in electronic communication between a terminal and a computer processor or between processors because of a failure of any hardware, software, or telecommunications components comprising the link. See also: network outage.

Communications Recovery – The component of disaster recovery that deals with restoring or rerouting a department's telecommunications network or its components. Similar terms: telecommunications recovery, data communications recovery.

Continuity Facility – A facility, other than the primary facility, used to process data and/or conduct mission essential functions in the event of a disaster. Similar terms: alternate processing facility, alternate facility, and alternate communication facility.

Crisis Assessment Team – A team developed to conduct an initial analysis of the situation to determine if the COOP/COG or a departmental annex will be activated.

Critical Equipment – Includes specific equipment required to reestablish a mission essential function.

Damage Assessment – The process of assessing damage to computer hardware, vital records, facilities, etc., and determining what can be salvaged or restored and what must be replaced following a disaster.

Delegations of Authority – Specifies who is authorized to act on behalf of the department head and other COOP/COG critical officials for specific purposes.

Department Backup Personnel – A list of alternate personnel who can fill a position when the primary person is unavailable.

Disaster – An incident that renders a department unable to provide critical business functions. Similar terms: business interruption, outage, and catastrophe.

Emergency Preparedness – The discipline that ensures an organization's readiness to respond to an emergency in a coordinated, timely, and effective manner.

Essential Records and Databases – Files, records, or databases that, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory, or operational reasons, these records cannot be irretrievably lost damaged without materially impairing the department's ability to maintain mission essential functions.

Facilities – A location containing the equipment, supplies, and voice and data communication lines to conduct transactions required to conduct business under normal conditions. Similar terms: primary site, primary processing facility, and primary operating facility.

File Backup – The practice of copying a file stored on disk or tape to another disk or tape. This is done for protection in case the active file gets damaged.

File Recovery – The restoration of computer files using backup copies.

File Server – The central repository of shared files and applications in a computer network

Internal Call List – Standard format for an emergency call tree for employees within the scope of the project.

Interruption – An outage caused by the failure of one or more communications links with entities outside of the primary location.

Key Personnel – Personnel designated by their department as critical to the resumption of mission essential functions and services.

Local Area Network – Computing equipment, in proximity to each other, connected to a server that houses software that can be accessed by the users. This method does not use a public carrier. See also: WAN.

Local Area Network Recovery – The component of disaster recovery that deals specifically with replacing equipment and restoring essential data and software following a disaster. Similar terms: client/server recovery.

Logistics Manager – Staff member who has the skills and authority to coordinate the provision of resources and services during an incident.

Mission Essential Functions – Activities, processes, or functions that could not be interrupted or unavailable for several days without significantly jeopardizing the operation of the department.

Mutual Aid Agreements – A signed agreement to provide a service, which includes the method of performance, the fees, the duration, the services provided, and the extent of security and confidentiality maintained.

National Incident Management System – Provides a consistent nationwide template to enable federal, state, local, tribal governments, private sector, and nongovernmental organizations to work together effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

Network Outage – An interruption in system availability because of a communication failure affecting a network of computer terminals, processors, or workstations.

Non-mission Essential Function/Data – Business activities or information, which could be interrupted or unavailable indefinitely without significantly jeopardizing a department's mission essential functions.

Nonessential Records – Records or documents that, if irretrievably lost or damaged, will not materially impair the department's ability to conduct business.

Off-Site Storage Facility – A secure location, remote from the primary location, at which backup hardware, software, data files, documents, equipment, or supplies are stored.

Orders of Succession – Identifying alternates for senior and other key positions during an emergency in the event any of those officials are unavailable to execute their legal and/or essential duties.

Reconstitution Manager – Appointed based on nature and type of emergency. Reports to COOP/COG Administrator.

Record Retention – Storing historical documentation for a set period, usually mandated by state and federal law or the Internal Revenue Service.

Recovery – Includes all types of emergency actions dedicated to the continued protection of the public or to promoting the resumption of normal activities in the affected area.

Recovery Strategies – Alternative operating method (platform location, etc.) for facilities and system operations in the event of a disaster.

Recovery Time Objective – The period of time that a function can be suspended before its impact on the department is unacceptable.

Repository – A storage place for object models, interfaces, documents, and files.

Response – Those activities and programs designed to address the immediate and short-term effects of the onset of an emergency or disaster.

Risk – An ongoing or impending concern that has a significant probability of adversely affecting a department's ability to maintain mission essential functions.

Risk Assessment/Analysis - The process of identifying and minimizing the exposures to certain threats that a department may experience. Similar terms: risk assessment, impact assessment, corporate loss analysis, risk identification, exposure.

Risk Management – The discipline that ensures that a department does not assume an unacceptable level of risk.

Standardized Emergency Management System – The cornerstone of California's emergency response system and the fundamental structure for the response phase of emergency management unifying all elements of California's emergency management community into a single integrated system and standardizes key elements. SEMS incorporates Incident Command System (ICS), Multi/Inter-agency coordination, Mutual aid, and the Operational Area Concept.

Vulnerability – The susceptibility of a department to a hazard. The degree of vulnerability to a hazard depends upon the risk of the hazard occurring and potential consequences.

Section 14: Authorities and References

Authorities

- Homeland Security Act of 2002 (6 U.S.C § 101 *et seq.*), November 25, 2002
- Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, April 3, 1984, as amended.
- Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, November 18, 1988, as amended.
- Presidential Decision Directive 67, *Ensuring Constitutional Government and Continuity of Government Operations*, October 1998
- Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*, February 2008

References

- National Continuity Policy Implementation Plan, dated August 2007
- Federal Emergency Management Agency (FEMA) Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions), July 2010
- FEMA Continuity Plan Template and Instructions for Non-Federal Governments, September 2013.
- FEMA Continuity Guidance Circular 2 (CGC 2) Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions), October 2013
- 36 Code of Federal Regulations, Part 1234, Electronic Records Management, Part 1236 Management of Vital Records
- National Incident Management System (NIMS), December 2008
- National Fire Protection Association (NFPA) 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2013 Edition

State of California COOP Authorities

- State of California Senate Bill 61 Allowing Governing Bodies to Create Contingency Plans for Emergencies
- California Administrative Code Title 13, Chapter 6, Records Retention Scheduling Rules
- California Local Government Code, §441.180, Records Retention
- California Department of Information Resources (DIR) California Administrative Code (TAC) Title 1 §202.74
- California Government Code Subchapter E, Chapter 418, §418.111 and §418.112
- California Government Code Section 418.004, Government Code
- California Governor's Office of Emergency Services Continuity Planning Guidance, August 2016