

# Continuity of Operations Program (COOP) Handbook

Let's get COOPed up together!



Created by Multnomah County  
Office of Emergency Management

2 ←

# Acknowledgments

We would like to acknowledge the COOP Program Team for their time, technical expertise, insight and input into the new Continuity of Operations Planning (COOP) Program! A special thank you to:

COOP Advisory Team

COOP Leads - Representing the following departments/divisions:

- Audit office
- Communications Office/ Non-Departmental
- County Attorney's Office
- DCA - Budget, Finance and Planning
- DCA - Contracting, Procurement & Strategic Sourcing
- DCA - Director's Office
- DCA - Distribution
- DCA - Facilities & Property Management
- DCA - Fleet
- DCA - HR and Administration
- DCA - Information Technology
- DCA - Motor Pool
- DCA - Records
- DCHS - Business Services
- DCHS - Intellectual/Developmental Disability Services
- DCHS - Directors Office / Administration
- DCHS - Youth and Family Services
- DCHS - Aging, Disability, and Veterans Services Division
- DCJ - Business Services
- DCJ - Dept of Community Justice
  - Adult Services Division
- DCJ - Director's Office
- DCJ - Family Court Services
- DCJ - Juvenile Services Division
- DCM - Administration / Director's Office
- DCM - Assessment, Recording & Taxation (DART)
- DCM - Budget



DCM - Central Human Resources  
DCM - Business Services  
DCM - Evaluation and Research Unit  
DCM - Finance & Risk Management  
DCS - Animal Services  
DCS - Business Services  
DCS - Director's Office  
DCS - Elections  
DCS - Land Use Planning  
DCS - Transportation Bridges  
DCS - Transportation Roads  
Joint Office of Homeless Services  
Library  
MCHD - Business Services  
MCHD - Corrections Health  
MCHD - Director's Office  
MCHD - Integrated Clinical Services  
MCHD - Mental Health and Addiction Services  
MCHD - Occupational Infectious Disease  
MCHD - Public Health Division  
MCSO - Business Services  
MCSO - Chief of Staff Office  
MCSO - Corrections  
MCSO - Enforcement  
Multnomah County District Attorney  
Multnomah County Emergency Management

Special thanks to Jaye Cromwell, MCEM Equity Planning Intern,  
for helping pull this handbook together in time.



# Table of Contents

Acknowledgments.....	3
Table of Contents.....	5
Program Overview.....	9
Program Definitions.....	9
Program Time lines.....	15
Program Charter.....	17
Kick-off Presentation.....	37
DRAFT Documents.....	77
DRAFT Multi-Year Strategic Program Management Plan (MYSPMP).....	77
DRAFT - Base Plan.....	80
DRAFT - Annex Set.....	117
PlanningWorksheets.....	135



Remove this page and replace with Tab 1.





# Program Overview

This handbook is meant to guide program participants through the first year of the COOP Program development. The intent of this document is to provide an initial reference source for each of the program team members and will be used over the course of the next year as a planning guide for workshops, work sessions, and plan/annex development.

The draft base plan and annex documents included in this handbook will change significantly over the course of the year. **There will, however, be no updates or additional versions of this handbook.** Please use it for your reference, notes, brainstorming, etc.

## Program Definitions

**Activation** – The implementation of capabilities, procedures, activities, and plans in response to an emergency or disaster declaration; the execution of the emergency response plan and or/business recovery plan.

**Alternate Facility** – Also referred to as a continuity facility, it can have any one of the following meanings:

(1) A location, other than the normal facility, designated to be used to carry out essential or mission critical business functions.

(2) An alternate operating location to be used by business functions when the primary facilities are inaccessible.

(3) Another location, computer center or work area designated for recovery.

(4) Location, other than the main facility, that can be used to conduct business/essential functions.

(5) A location, other than the normal facility, used to

process data and/or conduct essential business functions in the event of a disaster.

(6) Alternate or continuity facilities refer to not only other locations, but also nontraditional options such as working at home (“Teleworking”), telecommuting, and mobile-office concepts.

**Continuity** – An uninterrupted ability to provide services and support, while maintaining viability, before, during and after an event.

**Continuity Guidance Circular (CGC)** – The CGC 1 is a guidance document that provides direction to non-federal entities for developing continuity plans and programs.

**Continuity of Government (COG)** – The preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization’s constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority, and active command and control.

**Continuity of Operations (COOP)** – The activities of individual departments and agencies and their sub-components to ensure that their essential functions are continued under all circumstances. This includes plans and procedures that delineate essential functions; specify succession to office and the emergency delegation of authority; provide for the safekeeping of vital records and databases; identify alternate operating facilities; provide for inter-operable communications; and validate the capability through tests, training, and exercises.

**Continuity of Operations Plan** – A plan to ensure the safety of employees and the resumption of time-sensitive operations and services following an emergency.



**Continuity Communications** – Alternate communications both internal and external that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

**Continuity Event** – This refers to any event that requires an organization or department to relocate resources or operations to an alternate site to assure the continuation of its essential functions.

**Continuity Planning** – Historically, the federal government defined continuity efforts using the terms “COOP” and “COG.” These were often separate and compartmentalized activities. This old organizational framework has changed and the new program uses instead the reference to “Continuity Planning” as an overlapping integration of continuity of operations and continuity of government concepts.

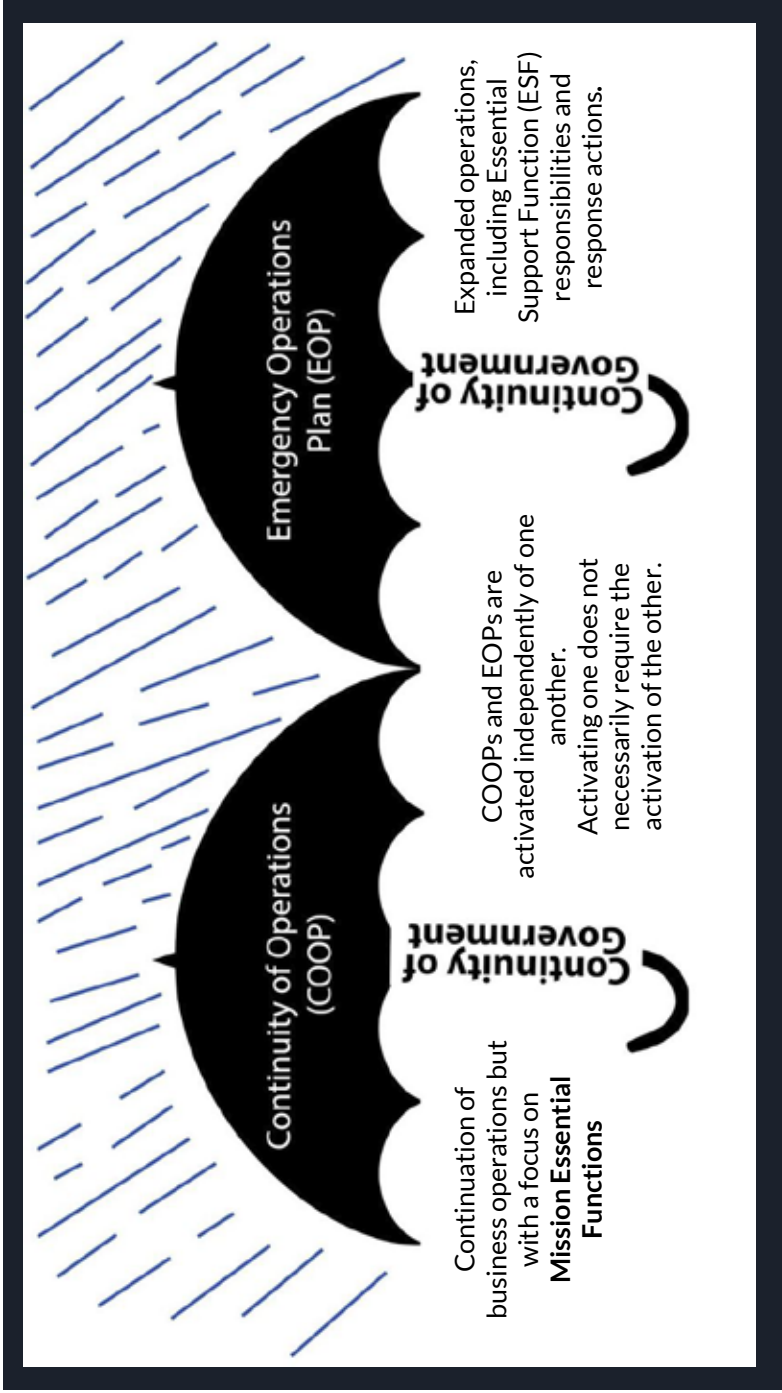
**Delegation of Authority** – Specifies who is authorized to act on behalf of the organization or department head and other key officials for specific purposes.

**Dependency** – The reliance, directly or indirectly, of one activity or process upon another, including internal/external dependencies and IT/Non-IT dependencies.

**Devolution** – The capability to transfer the authority and responsibility for essential functions from an organization’s primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

**Essential Functions** – Functions that enable the organization or department, on behalf of the state, to provide vital services, exercise civil authority, maintain the safety and well being of

Figure 1. COOP and EOP Definitions



the general populace, and sustain the industrial/economic base in an emergency.

**Essential Resources** – Resources that support the organization or department’s ability to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

**Event** – A sudden, unplanned disruption causing unacceptable damage or loss, which may impact or interrupt services.

**Federal Continuity Directive (FCD)** – A document developed and promulgated by DHS which directs the executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

**Go Kit** – A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. It contains items needed to minimally satisfy personal and professional needs during deployment.

**Incident** – An occurrence or event, either human-caused or by natural phenomena, that requires action by emergency response personnel to prevent or minimize loss of life or damage to property and/or natural resources.

**Lines of Succession** – Provisions for the assumption of senior organization offices and other key positions during an emergency in the event that any of those officials are unavailable to execute their legal and/or essential duties.

**Multi-Year Strategy and Program Management Plan (MYSMP)**– A multiple-year process to ensure the maintenance and continued viability of Continuity Plans.

**Primary Operating Facility** – The site of normal, day-to-day operations; the location where an employee usually goes to work.

**Procedures** – A document that outlines a series of action steps taken to accomplish a desired end result.

**Processes** – To put through the steps of a prescribed procedure: a series of actions, changes, or functions.

**Reconstitution** – The process by which organization personnel resume (transition back to) normal organization operations from the alternate location back to the primary or replacement primary operating facility.

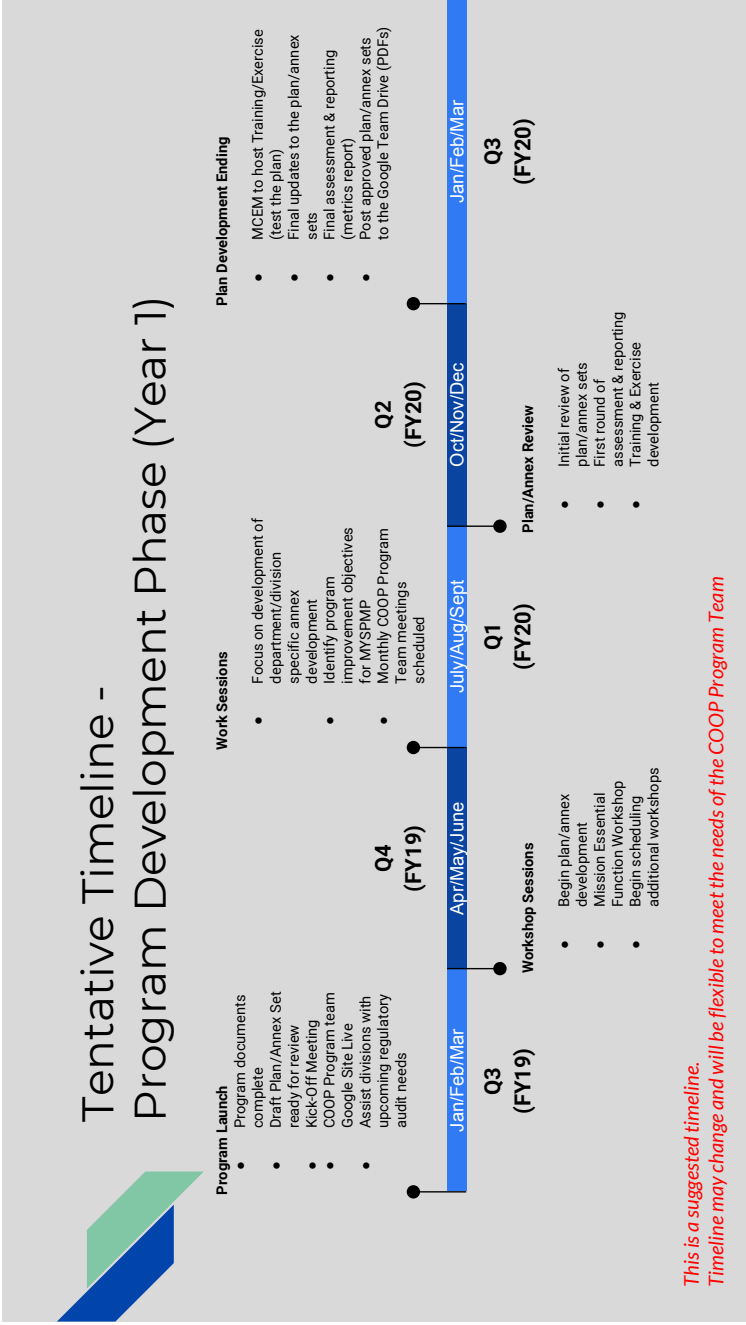
**Telework** – When an employee carries out their work duties at their residence or another convenient site rather than their official duty station.

**Training, and Exercises (T&E)** – Measures to ensure that an organization's continuity program is capable of supporting the continued execution of its essential or mission critical business functions throughout the duration of an event.

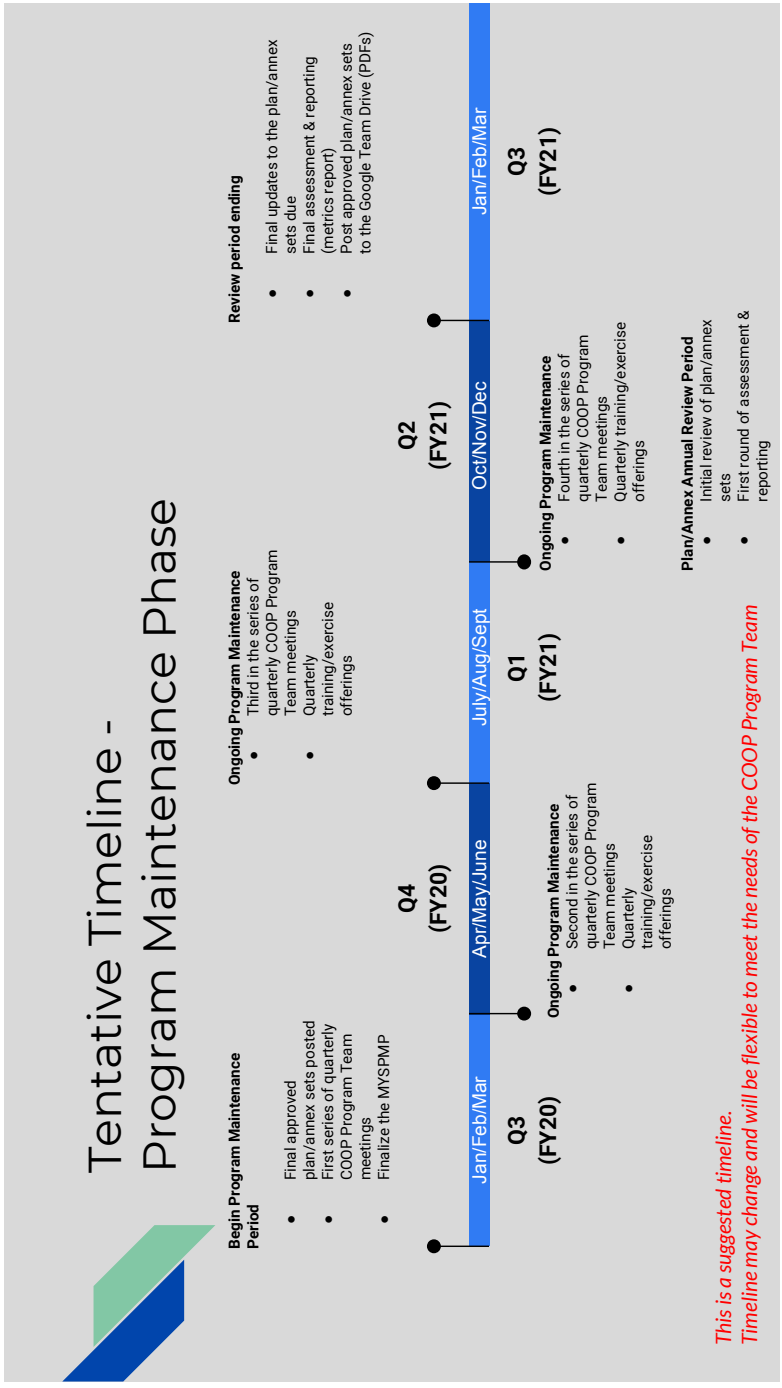


# Program Timeline

**Figure 2. Timeline- Program Development Phase**



**Figure 3. Timeline- Program Maintenance Phase**





# **Program Charter**

## **PURPOSE**

As part of the Multnomah County Office of Emergency Management's (MCEMs) role to help county departments prepare for emergencies that may disrupt normal operations, this document outlines the Continuity of Operations Planning (COOP) program. The purpose of the program is to provide a structure to assist county agencies to develop, maintain, and exercise their COOP processes. The program offers departments both guidelines and resources for creating their plan, as well as resources and assistance in training and exercising.

## **PROGRAM DESCRIPTION**

MCEM recognizes the need for all departments to create a COOP plan, to regularly update that plan, and to train and exercise staff. The Continuity of Operations Planning (COOP) Base Plan will be developed, updated and maintained by MCEM with input from COOP stakeholders. Individual annexes will address the specific and unique needs of each department/division and will be owned and maintained within those individual department/divisions.

The MCEM COOP Program offers department COOP program leads both the guidance and tools to develop their COOP annexes and prepare their teams. The program is divided into four components:

1. COOP Plan and Annex Development
2. Plan Updates
3. Training and Exercises
4. Assessment and Reporting

## SCOPE

There are several levels of COOP Program support that will be offered. The priority of the COOP Program is to focus on plan development for internal Multnomah County departments and divisions.

There are several overlapping program initiatives that may happen concurrently through coordinated efforts with MCEM's Training and Exercise Coordinator and through various Business Continuity Professionals (BCPs) representing other jurisdictions, agencies and service providers.)

**Initiative 1:** Plan development focused on internal Multnomah County departments/divisions

**Initiative 2:** Coordination and support for County jurisdictions (Portland, Gresham, Fairview, Troutdale, Wood Village, and Maywood Park)

**Initiative 3:** Coordination with partner agencies (NGOs, Universities, Schools, local service providers)

**Initiative 4:** Ongoing training and exercise to include informative workshops, table tops and functional exercises

***This project charter focuses on Initiatives 1 and 4 only.***

## OUT OF SCOPE

Coordination and support of initiatives 2 and 3 may run concurrent but will be managed under a separate charter or set of objectives.

## OBJECTIVES

The goal is to develop a Continuity of Operations Planning Program that is comprehensive, collaborative and equitable. This will be done by focusing on the following objectives:



Ensure the continuous performance of a department's essential services during a disaster or major emergency.

Protect critical infrastructure.

Reduce or mitigate disruptions to operations from a disaster.

Achieve a timely and orderly recovery from an emergency and resume full service to customers as quickly as possible.

Provide training and exercise to all departments/division on the activation and implementation of their plans.

This program will support the Multnomah County Emergency Management Strategic Plan as follows:

### **GOAL 1: Leadership and Participation**

1.1 Multnomah County elected leaders and department directors know their roles in emergency management and the county has developed Continuity of Government (COG) and Continuity of Operations Plans (COOP) to execute their emergency responsibilities.

1.3 Establish a culture in which all county employees participate in emergency management

### **GOAL 2: Planning and Equity**

2.4 Demonstrate our equity core value through consistent and active engagement in all aspects of planning.

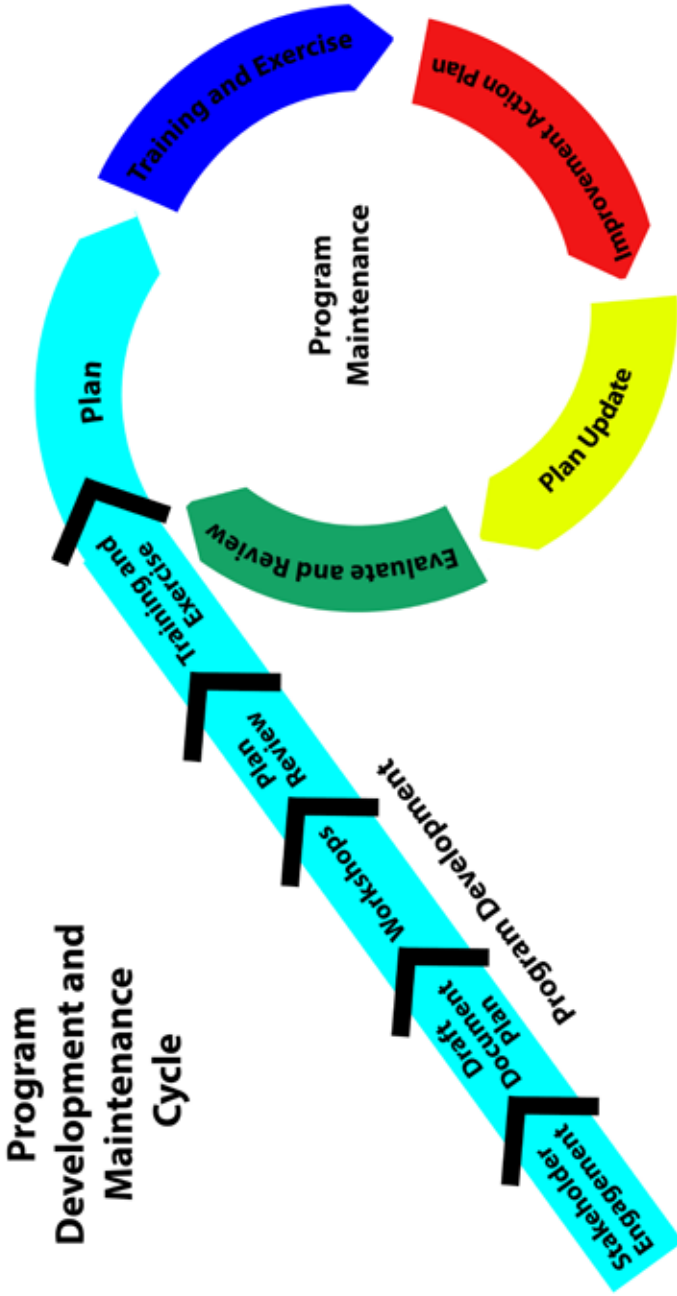
2.4.3 Equity lens applied to the planning process

### **Goal 3: Readiness and Response**

3.3 Develop and implement a FEMA compliant Homeland Security Exercise Evaluation Program (HSEEP) training and exercise program

APPROACH

Figure 4. Program Development and Maintenance Cycle



# 1. COOP Plan Development

MCEM meets with COOP program leads and introduces them to the concepts of COOP planning and elements of the plan. COOP program leads will continue to receive instruction on how to develop a COOP plan, including guidance on which elements to include in their plans. Additionally, MCEM has decided to move away from the BOLD Software Solution.

MCEM will create one COOP Base Plan that will contain all of the guidance and policy required of a COOP Plan. Each Department/Division will update a set of Annexes based on their specific COOP needs that they will be responsible for updating and maintaining.

Previous BOLD data sets and modules that housed contact list and facility lists will no longer be required within the plan. This information will be managed and will be available through Workday and Tririga.

## Plan Structure

<b>BASE PLAN</b> <i>(developed and maintained by MCEM)</i>	<b>ANNEXES</b> <i>(developed and maintained by each dept/division)</i>
Introduction	A. Mission Essential Functions
Purpose	B. Continuity Personnel (COOP Team)
Concept of Operations	C. Orders of Succession
COOP Elements (annex descriptions)	D. Delegations of Authority
Roles and Responsibilities	E. Essential Records
Family Preparedness/Disaster Planning	F. Essential Systems and Resources (IT)
Personal Preparedness and Safety	G. Activation/Communications
Planning Process	H. Alternate Facilities
Training and Exercise	I. Go Kits
Plan Maintenance	J. Devolution
Plan Review Process (Metrics)	K. Supporting Documents

## 2. Plan Updates

COOP program leads will be provided with peer assessments of their plans and their plans will receive a score to determine where their plan sits against other county plans. Program managers will then have an idea of where time and resources could be utilized to improve their plans.

## 3. Training and Exercises

Once the plan is created, COOP program leads will coordinate with the MCEM Training and Exercise Coordinator to ensure training of staff and exercising of their plans. Training should ensure people have a basic understanding of how to implement aspects of their plan and should include an after action report to ensure action items are captured to promote continuous improvement for the program. **Multiple training opportunities will be made available to fit a variety of needs.**

### Training & Exercises

Training/Exercise Opportunity	Description	Comments
Annual COOP focused training or exercise	Local or regional opportunity that a department/divisions is invited to or elects to attend	May be MCEM hosted or offered through the regional training calendar
Quarterly COOP focused training	COOP specific training or table top exercise offered each quarter with varying sets of objectives	Prepared and facilitated by the MCEM Training & Exercise Coordinator
Department/Division ops exercise to include COOP elements	Adding COOP specific injects into already scheduled training for various departments or divisions	Departments/Divisions to coordinate with MCEM Training and Exercise Coordinator
Activation	Actual real world COOP activations	Credit will be given for event activation when COOP is activated. MCEM Training and Exercise Coordinator will assist with tracking



## 4. Assessment and Reporting

MCEM will assess the COOP program on a yearly basis starting in 2020 to determine the county's readiness to operate its essential functions from an alternate location. This assessment will include a review of:

- **Department plans, based on MCEM guidance (scored on a three-point scale).**

Each COOP plan receives a numeric score for each of the COOP elements:

Score	Description
3	All required information provided
2	Most required information provided, some additional information recommended
1	Minimal required information provided; significant additional information recommended
0	No information provided

The scored elements will include each of the elements as detailed in the annex documents.

- **COOP program training**

Participation by the COOP Program lead in COOP training. MCEM will provide COOP program leads with a training list from which they can choose. Taking courses towards or maintaining any COOP level certification from FEMA or another outside organization in COOP is encouraged (Such as a certified business continuity planner or professional continuity professional).

Training by the COOP Program lead or other party to key personnel in the department on their departmental COOP. This will look at the level of training for key and essential staff

within a department in supporting COOP essential functions

**• COOP exercise participation**

MCEM will begin conducting annual COOP exercises to promote information sharing across departments. Departments should hold exercises to support essential functions. Tabletop discussions are important, but events where aspects of the plan are implemented are critical (not all exercises need to be exhausted – Plan a work from home day for office staff or relocate a small portion of your office for a day to see what you might need if you had to relocate) An actual COOP event will suffice to support the exercise activity.

A department that holds its own exercise must submit an after-action summary of the exercise to include a brief statement about the exercise, a list of success, a list of areas of improvement, and a brief plan. These exercises should be coordinated with the MCEM Training and Exercise Coordinator for tracking purposes and for additional support or resources.

**• Overall COOP program management (MCEM)**

Identification of a COOP Lead for the department/divisions  
Attendance at COOP Program meetings and/or workshops  
Delegation of a representative to attend meetings when appropriate.

MCEM will conduct the assessment based on activities during the calendar year and will provide information back to Directors.





Figure 4. Example of a scoring matrix

DCS - Department of Community Services	Director's Office	Business Office	Animal Services	Elections	Land Use Planning	Transportation Bridges	Transportation Roads
Approvals							
Mission Essential Functions							
Continuity Personnel							
Orders of Succession							
Delegations of Authority							
Essential Records							
Essential Systems and Resources							
Activation/Communications							
Alternate Facilities							
Go Kits							
Devolution							
Supporting Documents							
Program Participation							
Training and Exercise Participation							
<b>TOTAL AVERAGE SCORE</b>							

## **PROGRAM TEAM**

COOP Program Manager  
Amy Rasmussen, MCEM

COOP Advisory Team (A-Team)  
Mark Dorin, Facilities  
Brad Rummel, IT  
Lauren Kelly, Records  
Robert Quinn, MCEM - Training Coordinator  
Lisa Corbly, MCEM - Planning Division Chief

COOP Leads

## **COOP Program Manager Roles and Responsibilities**

- Manage the overall COOP Program and serve as the primary point of contact
- Support all Advisory Team members and COOP Leads
- Initiate and facilitate all COOP Program meetings and workshops
- Meet regularly with the Advisory Team to develop new strategies and improvement plans for the ongoing maintenance of COOP
- Coordinate with Training and Exercise Coordinator on training, exercising and tracking
- Develop and maintain the COOP Base Plan and the Annex template development
- Manage the Assessment and Reporting Process to ensure COOP compliance
- Manage the Multnomah County Emergency Management (MCEM) COOP Annexes



## **COOP Advisory Team Roles and Responsibilities**

- Provide input and assistance to COOP leads during plan development and maintenance
- Collaborate on the interdependencies between the departments/divisions and the advisory team support functions/areas (i.e. Facilities, IT, Records, and Training)
- Meet regularly with the COOP Program Manager to develop new strategies and improvement plans for the ongoing maintenance of COOP
- Participate in the Assessment and Reporting process
- All of the COOP Leads roles and responsibilities

## **COOP Leads Roles and Responsibilities**

- Be available for COOP Program Meetings and Trainings
- Be an active participant in the COOP development and maintenance process for their department/divisions (Annex development and updates)
- Message the COOP Program and the Assessment and Reporting requirements to their respective departments/divisions
- In-depth understanding of the functions within their department/divisions (including essential functions, job descriptions, and roles and responsibilities)
- Commitment to ensuring delivery of services even during a disaster or interruption of normal operations
- Understanding of or a desire to learn more about the interdependencies within the County
- Ability to relationship build and work cooperatively with multiple groups
- Be the voice for their department regarding COOP concerns, gaps, limits, risks

## Time Commitments

*(Preliminary, subject to change based on team input)*

	Meetings	Workshops	Training	Plan Review
Year 1	Leads: Monthly (1-2 hours max.)  A-Team: Twice a month (1-2 hours max)	Mission Essential Function Work Session (6 hours)  Annex development workshop (3 hours)  Additional annex development workshop (as needed) (3 hours)	Table Top Exercise (4-8 hours)	Review of Plan drafts including comment period - quarterly (1-2 hours per quarter)
Year 2	Leads: Quarterly (2 hours per quarter)  A-Team: Monthly or Bi-Monthly (1 hour) in addition to quarterly meetings	TBD	Table Top (4-8 hours)  OR  Functional Exercise (4 - 8 hours)	Leads: Bi-annual (2 hours)  A-Team: Bi-annual review and additional 1-2 hour for Plan Improvement Recommendations and Peer Review Period
Year 3	Leads: Quarterly (2 hours per	Mission Essential Function - Updates Work Session as needed (4-6	Table Top (4-8 hours)	Leads: Bi-annual (2 hours) A-Team:
	quarter)  A-Team: Monthly or Bi-Monthly (1 hour) in addition to quarterly meetings	hours) OR COOP Informational Training Session for training new staff, new liaisons, etc.	OR  Functional Exercise (4 - 8 hours)	Bi-annual review and additional 1-2 hour for Plan Improvement Recommendations and Peer Review Period



**Notes:**



**Notes:**

**Notes:**



**Notes:**



**Notes:**



**Notes:**

Remove this page and replace with Tab 2.



# Kick-off Presentation

## COOP Program Kick-Off

February 21, 2019



# AGENDA

- Sign-In Sheet
- Introductions
- Announcements
- COOP Program Handbook
- Program Team Google Site
- COOP Base Plan (Framework)
- COOP Annex Sets
- BREAK
- Training & Exercise
- Assessment & Reporting
- Scoring & Metrics
- Upcoming Workshops
- Timeline
- Next Steps
- Feedback Forms

<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--



## Introductions

- 52 identified departments/divisions with a need for a COOP
- Each department/divisions (i.e. each COOP) will have a Lead
- Some Leads may manage multiple COOPs
- Some COOPs may be consolidated based on similar Mission Essential Functions
- All of this equals a very robust, knowledgeable and dynamic Program Team
- Advisory Team Introductions
- Introduce yourself:
  - Name
  - Department/division
  - Any COOP experience?





<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--

## COOP Motto

- Simple
- Defendable
- Operational

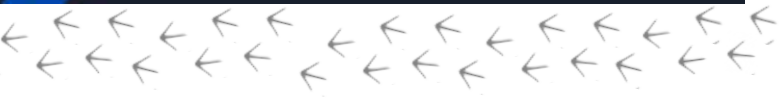


<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--



Key to Success

This is  
**YOUR**  
plan



<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--



## Exciting Announcement!

# ~~BOLD~~ Software

- The stakeholders spoke and we listened!
- No longer utilizing BOLD as the plan development & maintenance platform
- Information in BOLD will still be available if needed
- Outdated, doesn't meet our needs
- No clear picture of the overall plan
- Duplication of effort



## Catastrophic Planning

# ~~Cascadia Earthquake~~

- Initial planning will focus on those events we can conceivably manage here and now
- Cascadia Earthquake will not be the focus for Year 1 of the COOP Program
- Still very important and will not be overlooked
- Included in the development of the Catastrophic Earthquake Annex
- EQ Annex project will include training and exercise modules that will contain COOP elements





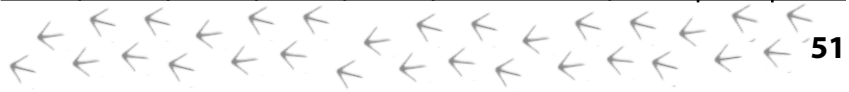
<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--

## COOP Program Handbook

### How to survive being COOPed up together!

- COOP Overview
- Program Timeline
- Charter
- DRAFT Multi-Year Strategic Program Management Plan (MYSPMP)
- Kick-Off Presentation
- DRAFT - Base Plan (COOP Framework)
- DRAFT - Annex set
- Planning Worksheets

**Notes:**



## Program Team Google Site

- Link will be shared with all Team leads
- Includes:
  - Announcements
  - Program Calendar
  - File Cabinet (access to templates and support documents)
  - Program Docs (approved plan and annex sets, PDFs)
  - Question Forum
  - FAQs
- Anything useful to the Program Team



<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--

## Base Plan - Framework

- Guidance
  - Concept of Operations
  - Operational Scenarios
  - COOP Elements - Descriptions
  - Personal Preparedness & Safety
  - Planning Process
  - Checklists
- Updated by MCEM



**Notes:**



## Annex Set

- Overview
- Approvals
- Annex Set (A-K)
- Maintained/Updated by the department/division assigned lead

ANNEXES <i>(developed and maintained by each dept./division)</i>
A. Mission Essential Functions
B. Continuity Personnel (COOP Team)
C. Orders of Succession
D. Delegations of Authority
E. Essential Records
F. Essential Systems and Resources (IT)
G. Activation/Communications
H. Alternate Facilities
I. Go Kits
J. Devolution
K. Supporting Documents



<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--

# Training & Exercise

Training Options		
Quarterly Training	COOP-specific training or exercise opportunities offered each quarter with varying objectives	Hosted and facilitated by the MCEM
Annual Training and/or Exercise Event	Any training or exercise participation external to the county quarterly opportunities that focuses on COOP	Hosted by external organizations, individual departments/divisions, contractors, etc.
COOP Add-On Training	Adding COOP specific injects/scenarios to already scheduled non-COOP focused training or exercise events for various departments or divisions	Departments/Divisions to coordinate with MCEM Training and Exercise Coordinator
Activation	Actual real world COOP activations	Credit will be given for event activation in COOP is activated. MCEM Training and Exercise Coordinator will assist with tracking

<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--

## Scoring and Metrics - Purpose

1. Accountability
2. Measure the success of the overall program
3. Inform improvements to the overall program
4. Determine where additional support may be needed
5. Identify resource needs (great for budget planning!)

<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--

## Assessment and Reporting

- Reminder emails with a due date for plan/annex updates
- Initial scoring by the Advisory Team (A-Team)
- Provide scoring and recommendations back to the COOP Leads
- Final revisions due (date will be provided in the scoring and recommendation follow-up from the A-Team)
- A-Team will do a final assessment/review and provide follow-up support
- Approved plans/annexes will be posted to the COOP Team Drive
- Director's for Departments/Divisions who did not submit documents for review and scoring will receive notification with recommendations for compliance

<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--



## Workshops

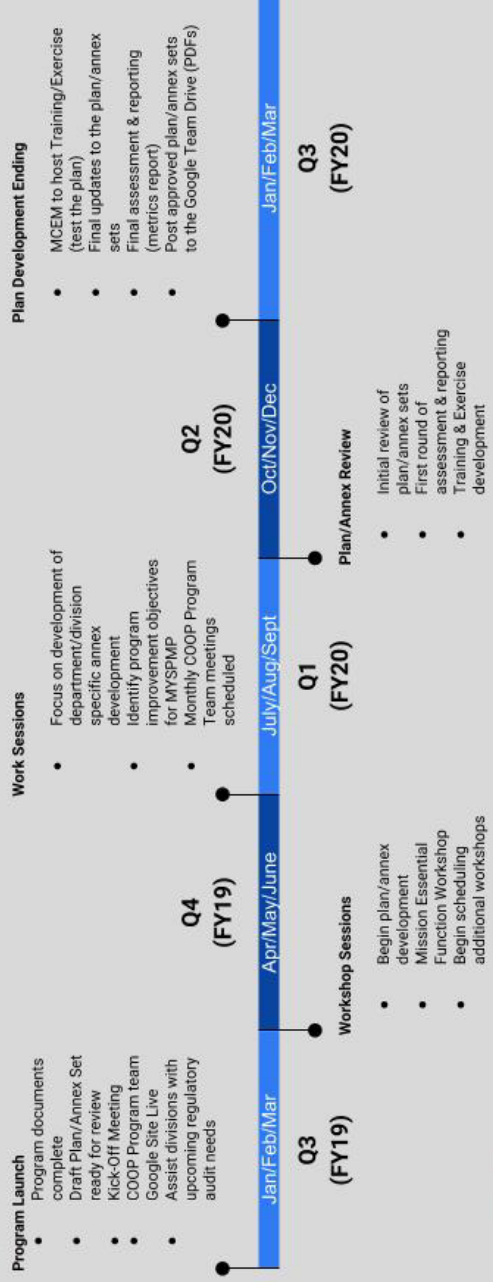
- Mission Essential Function Workshop
- Essential Records & Essential Systems Workshop
- Department/division specific work sessions
- Suggested Mini-Workshops/Webinar Training
  - Assessment & Reporting
  - Activation & Communications
  - Labor relations considerations (essential employees)
  - Requesting alternate facilities (includes telework discussions)
  - Reconstitution



<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--



# Tentative Timeline - Program Development Phase (Year 1)

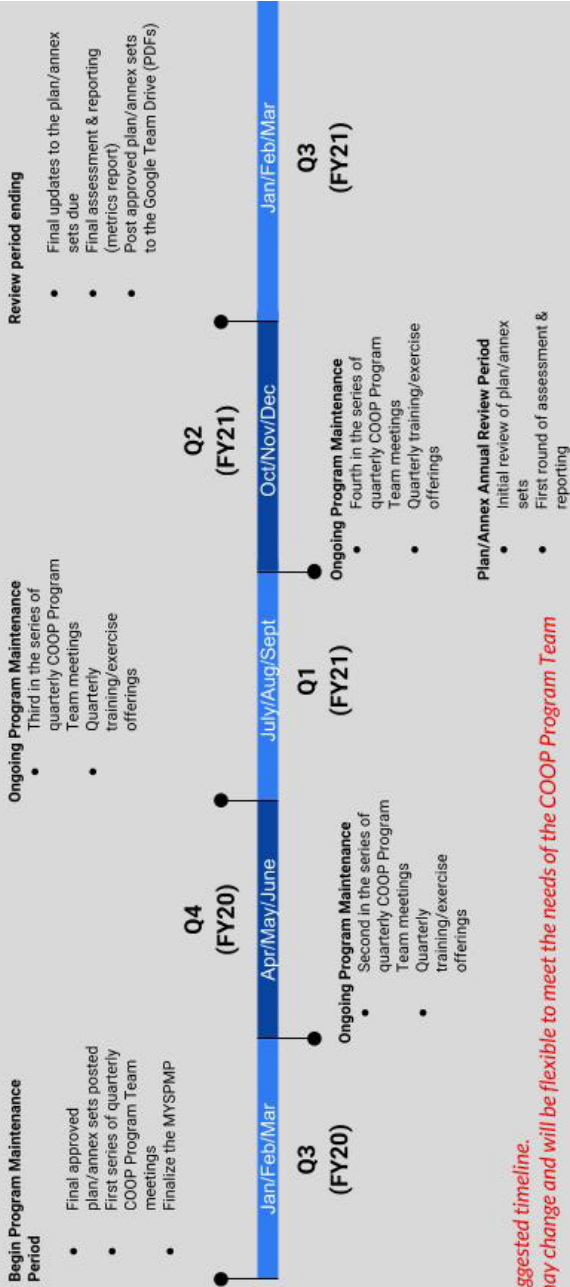


*This is a suggested timeline. Timeline may change and will be flexible to meet the needs of the COOP Program Team*

<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--



# Tentative Timeline - Program Maintenance Phase



*This is a suggested timeline.  
Timeline may change and will be flexible to meet the needs of the COOP Program Team*

**Notes:**



## Next Steps

- Review Handbook
- Talk about COOP with your department/division
- Review Mission Essential Function worksheets
- MCEM to schedule upcoming Mission Essential Workshop via Doodle poll



<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--

# Questions?

Feedback Forms





<b>Notes:</b>									
---------------	--	--	--	--	--	--	--	--	--



Remove this page and replace with Tab 3.



# DRAFT Documents

## Multi-Year Strategic Program Management Plan (MYSPMP)

### INTRODUCTION

This document contains the strategy and program management concepts that will be used to ensure the ongoing development and improvement of the COOP capabilities over the next five years. The guidance included in this document meets all of the requirements of the Federal Continuity Guidance Circular . This MYSPMP provides a general assessment of the current state of the organization's continuity abilities as well as an overview of the COOP Program goals and strategies for ongoing improvements to the Program.

### PURPOSE

The Multi-year Strategic Plan is critical to developing and managing a viable organization COOP capability. It will assist COOP planners in defining short and long-term COOP goals and objectives. The MYSPMP will serve as a roadmap for the COOP Program Team to follow to ensure that critical activities and resources can be implemented and obtained so that their programs continue to improve over the next five years.

### TIMELINE

#### **Program Year 1: Program Development**

- Encompasses the current state and objectives of the program
- Building a program team
- Initial plan development
- Annex development
- Workshops and work sessions

DRAFT

## **Program Years 2-3: Program Maintenance and Improvements**

- Short term strategies
- Implement improvement plans
- Plan maintenance
- Ongoing training and exercise
- Ongoing stakeholder (COOP Leads) engagement

## **Program Years 4-5: Program Maintenance and Improvements**

- Long term strategies
- Implement improvement plans
- Plan maintenance
- Ongoing training and exercise
- Ongoing stakeholder (COOP Leads) engagement
- Strategic planning for an updated MYSPMP (for another 5 years)

## **CONTINUITY PROGRAM GOALS**

1. Prepare for the consequences of a Continuity event
  - 1.1 Current State
  - 1.2 Objective
  - 1.3 Short Term Strategy
  - 1.4 Long Term Strategy
2. Maintain updated facilities and relocation information Countywide
  - 2.1 Current State
  - 2.2 Objective
  - 2.3 Short Term Strategy
  - 2.4 Long Term Strategy
3. Maintain and update Information Technology resources and supporting infrastructure
  - 3.1 Current State
  - 3.2 Objective
  - 3.3 Short Term Strategy
  - 3.4 Long Term Strategy

**DRAFT**

4. Maintain vital records for continuity including records required for the resumption of normal operations
  - 4.1 Current State
  - 4.2 Objective
  - 4.3 Short Term Strategy
  - 4.4 Long Term Strategy
5. Maintain contractual relationships through MOU, MOA, etc. for support of devolution
  - 5.1 Current State
  - 5.2 Objective
  - 5.3 Short Term Strategy
  - 5.4 Long Term Strategy
6. Maintain and support ongoing training and exercise opportunities County wide
  - 6.1 Current State
  - 6.2 Objective
  - 6.3 Short Term Strategy
  - 6.4 Long Term Strategy
7. Implement and maintain program accountability metrics
  - 7.1 Current State
  - 7.2 Objective
  - 7.3 Short Term Strategy
  - 7.4 Long Term Strategy

## **PLAN MAINTENANCE STRATEGY**

## **ONGOING IMPROVEMENT STRATEGY**

DRAFT

# Draft Base Plan

## 1. INTRODUCTION

### OVERVIEW

The Multnomah County Continuity of Operations Plan (COOP) encompasses the operations and services performed by the County. It is tailored to the operations of individual departments and divisions and the mission essential functions they perform. The COOP consist of an overarching Base Plan with individualized sets of annexes for each of the departments and divisions as listed in Appendix 1. The COOP process is supported by the Continuity of Operations Planning Program led by Multnomah County Emergency Management in coordination with a COOP Advisory Team that consist of (at a minimum) representatives from Information Technology, Facilities, and Records.

The Advisory Team, developed a Multi-year Strategic Program Management Plan to provide technical support and guidance for the maintenance and ongoing improvement of the plan beyond the initial plan development stage. The Program Management Plan is available on the COOP Google site along with all plans, annexes and supporting COOP documents. Information on the COOP Google site is detailed in Appendix 2.

### PURPOSE

The Continuity of Operations Planning (COOP) Program coordinates efforts to establish policy and guidance to ensure the execution of mission-essential functions for Multnomah County in the event that an emergency threatens or incapacitates operations. The goal of the program is to provide a framework that is designed to minimize the impact to operations, facilities, and employees during an emergency.

# DRAFT



The Base Plan provides the general framework for the development of a continuity plan as well as guidance for the activation of the plan. Annexes provide the department/division specific criteria for continuity operations.

This plan provides an all hazards approach to continuity of operations and will address three types of extended disruptions:

1. Loss of access to facility (e.g. fire)
2. Loss of services due to a reduced workforce (e.g. pandemic influenza)
3. Loss of services due to equipment or systems failure (e.g. information technology)

Any one of these types of disruption may result from a variety of hazards including severe weather, natural hazards, technological hazards.

## **APPLICABILITY AND SCOPE**

The COOP applies to County Personnel in all departments and all locations where essential functions are conducted. It also applies to the array of events and hazards that could threaten County services.

The COOP plan does not apply to temporary disruptions of service, including minor IT system or power outages, and any other scenarios where essential functions can be readily restored in the primary facility within a few hours. In most cases, a short-term inclement weather closure of County facilities will not require activation of COOP. The COOP plan is neither an evacuation plan nor an Emergency Action Plan.

Full COOP details for each department/division will be provided in the set of annexes associated with the base plan.

# DRAFT

## **ASSUMPTIONS**

- A disaster can occur with little or no warning.
- The County is vulnerable to a number of hazards. Please refer to the Multnomah County Multi-Jurisdictional Natural Hazards Mitigation Plan for detailed hazard information.
- The scale or severity of disruption to County operations will inform the degree of COOP activation necessary.
- An incident may occur during non-work hours and require notification and mobilization of COOP personnel to report to work on short notice and outside of regularly scheduled work hours.

## **LIMITATIONS**

- Staff may not be able to report to work during a COOP event
- Staff may need to be instructed to work from other facilities, assist with other duties as assigned, or remain at/return to home pending further direction.
- Staff must be provided adequate training on this COOP such that they will be able to perform their duties during an emergency.
- Because alternate facility space, required resources, and support capabilities may be limited, staffing may need to be temporarily restricted to those personnel with specific skills and experience needed for conducting essential functions.
- Essential records and/or essential systems may not be accessible during a COOP event
- Some isolated incidents or small scale events will not warrant the activation of COOP
- Events that create resource scarcity will impact the prioritization of requests (i.e. alternate facilities request or access to essential systems)
- Some members of COOP activation teams serve in other roles during disasters, such as the Emergency Operations

**DRAFT**

Center (EOC) or a department operations center (DOC). During multiple or large scale activations, COOP activities can be supported and coordinated through the EOC.

## **PLANNING CONSIDERATIONS**

- Personal and family preparedness planning and deployment basics should be made available to all employees who have been assigned specific responsibilities within COOP
- The development of the COOP and department/division annex sets may identify gaps in processes and procedures that will need to be addressed outside of the COOP program.
- COOP requires regular training and exercising of personnel, equipment, systems, processes and procedures used to support the county during a COOP event

## **AUTHORITIES**

### **Local**

- Multnomah County Code Chapter 25.420, Emergency Management

### **State**

- Oregon Revised Statutes (ORS) Chapter 401.305, Emergency Management and Services
- Oregon Policy #107-001-010, Statewide Continuity of Operations Planning

### **Federal**

- Continuity Guidance Circular, February 2018, FEMA National Continuity Programs
- Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements, U.S. Department of Homeland Security, Issue date January 17, 2017
- Federal Continuity Directive 2, Federal Executive Branch Mission Essential Functions and Identification and Submission Process, U.S. Department of Homeland Security, Issue date June 13, 2017

**DRAFT**

## 2. CONCEPT OF OPERATIONS

A continuity of operations plan must be maintained at a high level of preparedness and must be ready to be implemented without significant warning. This concept of operations supports the plan objectives and describes the approach to implementing the plan.

The broad objective of the COOP is to provide for the safety and well-being of County personnel as well as the public through a continuation of services. This plan identifies mission essential functions during any crisis or emergency in which one or more department/division locations are compromised, threatened or inaccessible. The plan annexes are designed to support very specific plan objectives such as:

- 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 critical employees and supporting staff who will relocate.
- Ensure the continuity facility (alternate location) can support operations.
- Protect and maintain essential records and databases.

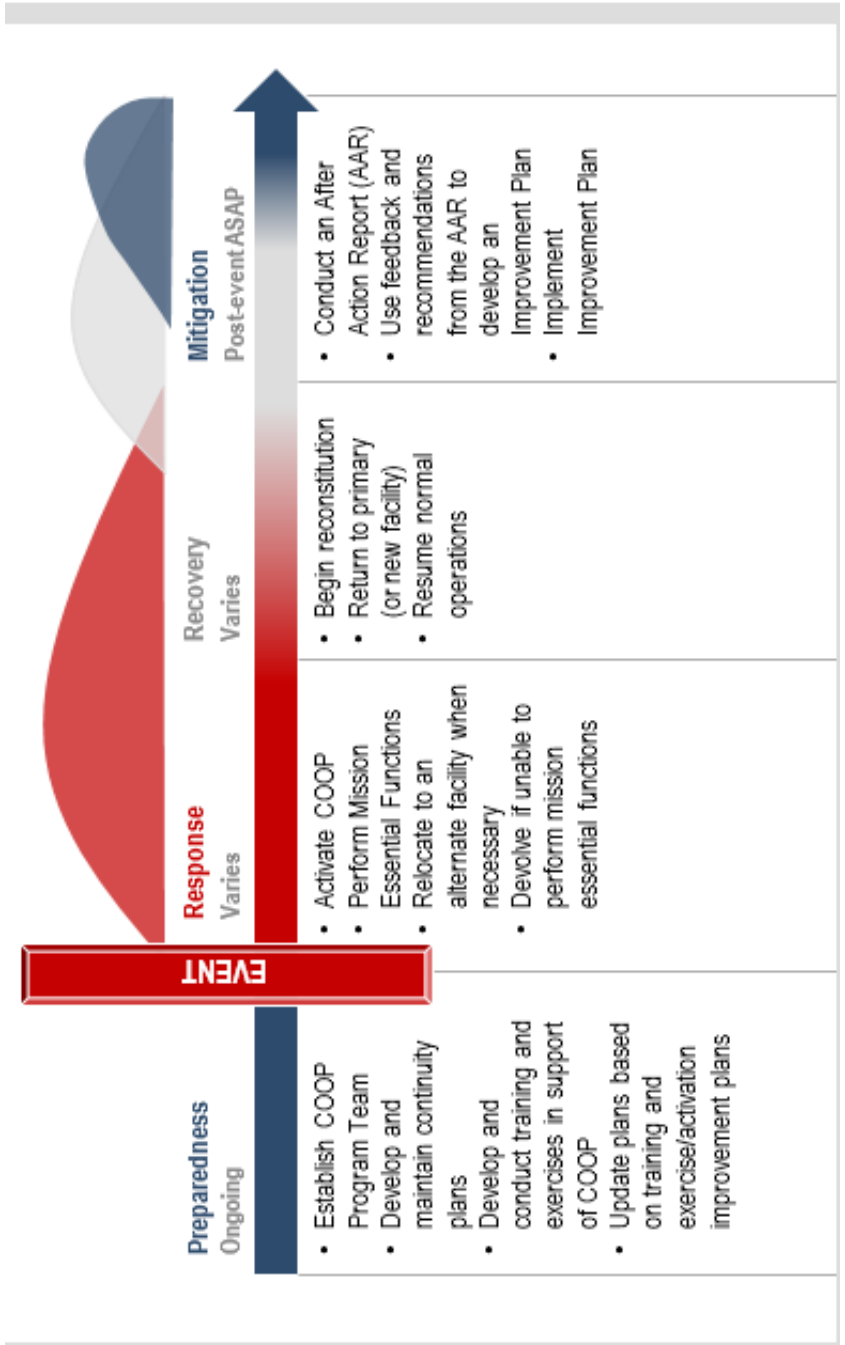
Continuity operations are emergency management functions occurring in one of four phases: preparedness, response, recovery and mitigation. The COOP concept of operations is expressed in five operational periods:

- Readiness and preparedness
- 8 Activation
- Relocation (if necessary)
- Continuity operations
- Reconstitution

Figure 5 shows the relationship and flow of these operational periods within the four emergency management phases.

DRAFT

Figure 5. COOP Phases



DRAFT

## **PREPAREDNESS**

Readiness is the ability of a department/division to respond effectively to any event that threatens its ability to continue mission essential functions. It is the responsibility of leadership to ensure that their department/division can perform its mission essential functions before, during, and after all-hazards emergencies or disasters. Preparedness activities develop the response capabilities needed during an emergency and create a solid readiness posture that prepares the county to be resilient. These activities include the review and revision of COOP related plans, tracking, training, and exercises, and the incorporation of an improvement plan in the Multiyear Strategic Program Management Plan (MYSPMP).

### **Establish a COOP Program Team**

The COOP program team should consist of a wide range of individuals from all levels and divisions or departments of the county. Every department/divisions with a COOP will need an identified lead from their department/division. Having the support of leadership (directors, managers, supervisors) will be critical to the success of the overall program. Program team members will need to regularly communicate with their leadership and their teams/peers in order to disseminate the COOP information and create a culture of preparedness within their department/division.

### **Develop and Maintain Continuity Plans**

The COOP program is not a planning project, it is a long term program that must be sustained year over year. These continuity plans and annex sets will need to be reviewed and updated regularly to ensure capacity and capability for successful activations during COOP events.

DRAFT

## **Training and Exercise**

To test the operational elements of the COOP, including the ability of County personnel to activate and implement COOP, the plan and annex sets should be regularly tested through various training and exercise opportunities.

### **Incorporate Improvement Plans Into Plan Updates**

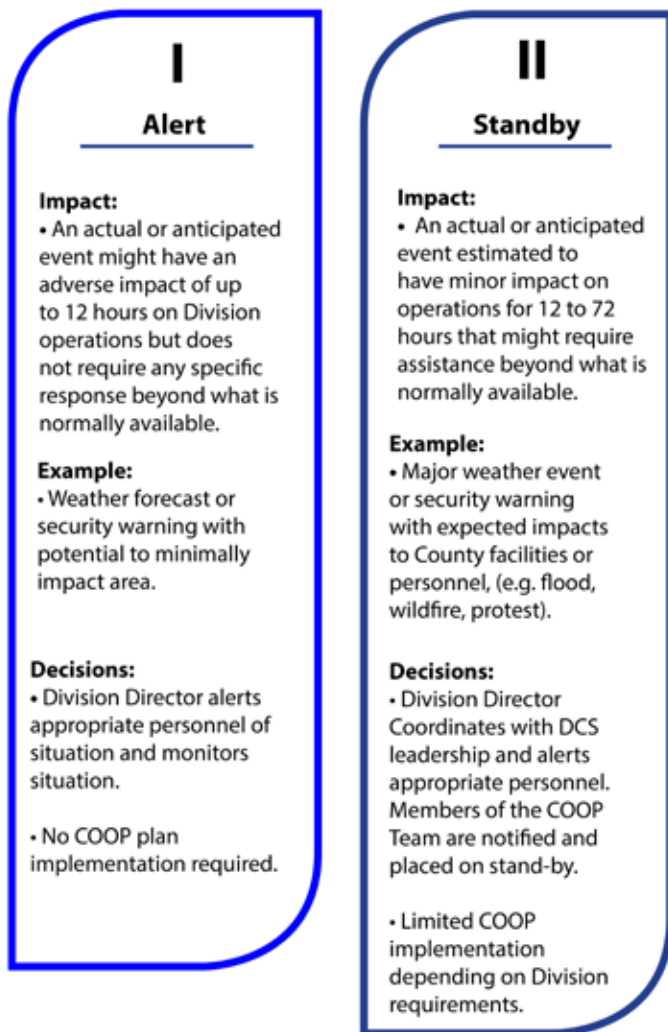
Following training and exercise, or real world events, departments/divisions will develop an Improvement Plan based on an After Action Report (AAR). This information, generated during the response phase will be used to update and improve the base plan and/or annex sets.

## **RESPONSE**

### **Activation**

Activation occurs after a disruption to operations necessitates the need to activate the COOP. An executive decision must be made after a quick and accurate assessment of the situation to determine the best course of action for the department/division. The decision process also prevents the premature or inappropriate activation of the COOP. Each department has identified a procedure to notify personnel during on-duty emergencies, off-duty emergencies and for ongoing communications in their COOP annex. Figure 6 gives an example of an Incident Level Decision Matrix.

**Figure 6. Incident Level Decision Matrix**



DRAFT



### III Partial Implementation

**Impact:**

- An actual event estimated to disrupt operation of some essential functions for 2-7 days. Impact is limited to a specific facility or program and does not have county wide impact.

**Example:**

- Small fire localized to one wing or floor of the building.

**Decisions:**

- Division Director alerts Department Director and requests activation of the COOP.
- COOP Team members alerted and instructed on partial implementation of the COOP.

### IV Full Implementation

**Impact:**

- An actual event that significantly disrupts the operations of essential functions county wide or for a specific facility or program for more than 7 days.

**Example:**

- Earthquake has caused widespread damages.  
OR
- Gas line explosion causes extensive structural damage to a DCS facility.

**Decisions:**

- Department Director activates the COOP for all of DCS and alerts senior County leadership.
- COOP Team members alerted and instructed on implementation of COOP.

**The following actions could be implemented for one or more work programs:**

- Relocation of key personnel to alternate facilities.
- Implementation of temporary work procedures.
- Temporary delegation of authorities or succession.
- Assignment of COOP teams to perform specific activities necessary to ensure essential functions.
- Instruction for some personnel to not report work as scheduled or to telework for all or a portion of the continuity event.
- Potential relocation of animals.

**In addition to actions in Level III above, may also require actions such as:**

- Movement of significant number of personnel to an alternate location for a period of more than 7 days.
- Command and control resources be applied.
  - Complete mobilization of all resources.
- Use of alternate communications methods.
- Consideration of personnel health and safety.

# DRAFT

## **Perform Mission Essential Functions**

During the response phase normal operations narrow and focus only on the mission essential functions for that department/division. Mission essential functions are those that must continue with no or minimal disruption.

## **Relocation**

Relocation to an alternate facility (or the decision to telework) occurs when a primary facility is damaged and rendered inoperable or unsafe for a period of time that disrupts the department/divisions operations. Each department/division annex list the criteria for relocation including the identification of mission essential functions that can be conducted via telework. Relocation is not always needed during a COOP event and all options should be discussed during the decision to activate process.

Alternate facility locations may vary based on incident and scale. Relocation requests are coordinated with Facilities who will partner with departments and divisions to support facilities requests. By coordinating these efforts directly with Facilities, COOP Teams can be assured that every effort will be made to locate and prepare alternate facilities for their arrival and that issues such as overcrowding, lack of resources, safety concerns, etc. can be mitigated in advance. Some departments/divisions who have programs located in multiple facilities may be able to easily relocate if staff size and resources needs can be reasonably accommodated at those other locations.

## **Devolution**

Devolution is a continuity event that may render an organization's leadership or staff unavailable to or incapable of supporting the execution of the organization's essential

**DRAFT**

functions from either its primary operating facility or alternate facility.

Devolution will transfer authority and responsibility for essential functions from primary operating staff and facilities to another authority. Departments/divisions may devolve to either another county department/division or to an outside contracted provider depending on the essential functions being performed.

## **RECOVERY**

### **Reconstitution**

Reconstitution is the transition back to normal operations in the primary operating facility. Following a more severe or catastrophic event it may even mean transition to a new location on a permanent basis.

Reconstitution focuses on restoring 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.

## **MITIGATION**

Mitigation activities lessen the impact of unavoidable hazards. The Multnomah County Multi-Jurisdictional Natural Hazards Mitigation Plan guides and prioritizes mitigation activities.

### **After Action Report**

All actual and exercise events are encouraged to include an After-Action Review Process. This process aims to provide a learning-focused discussion for participants to identify their collective strengths and areas for improvement from actions taken. Feedback can be collected at any time during the exercise or actual event, immediately following at a debrief, and during an After-Action Meeting.

The collective information captured should be included in an After-Action Report (AAR)/Improvement Plan. This document details the observations gathered from participants in a consistent and structured format. The information gathered during the After-Action Review process will provide recommendations to enhance continuity of operations preparedness, response, and recovery efforts. Each AAR should include an Improvement Plan (addressed in the following section), that lists potential corrective actions based on the identified areas for improvement.

An After-Action Review Process can be completed in coordination with the MCEM Training and Exercise Coordinator. For more information and guidance regarding the After-Action Review Process, please see the MCEM After-Action Report/Improvement Plan Standard Operating Procedure.

## Improvement Plan

Each After-Action Report (AAR) should include an Improvement Plan (IP) that captures recommendations based on the identified areas for improvement. These recommendations identify potential corrective actions to fill the identified gap. Recommendations typically focus on additional training, exercises, equipment, or process improvements, and assigns each to the appropriate subject matter expert for completion.

Multiple exercises and/or actual event Improvement Plans can be tracked in a single Collective Improvement Plan. Benefits to having the Collective Improvement Plan include the ability to recognizing recurring issues and improve project management capabilities (tracking, revision, updates, etc.). Please review the table below addressing the information fields for an After-Action Report Improvement Plan, and the Collective Improvement Plan:

<u>After-Action Report Improvement Plan</u>	<u>Collective Improvement Plan</u>
<ul style="list-style-type: none"> <li>● Aligned Objective</li> <li>● Identified Area for Improvement</li> <li>● Potential Corrective Action</li> <li>● Capability Element (<i>Planning, Organization, Equipment, Training, Exercise</i>)</li> <li>● Responsible Organization/Point of Contact</li> </ul>	<ul style="list-style-type: none"> <li>● Tracking #</li> <li>● Exercise/Event Date</li> <li>● Exercise/Event Name or Type</li> <li>● Observation</li> <li>● Recommended Corrective Action</li> <li>● Capability Element (<i>Planning, Organization, Equipment, Training, Exercise</i>)</li> <li>● Priority</li> <li>● Responsible Organization/Point of Contact</li> <li>● Corrective Actions Implemented</li> <li>● Status (Open, In Progress, Complete)</li> <li>● Completion Date</li> <li>● Notes</li> </ul>

Additional information is required for the Collective Improvement Plan to ensure specific AAR/IP information can be identified from each other. The MCEM Training and Exercise Coordinator is available to advise on and/or assist with the development of Improvement Plans.

For additional information and/or guidance regarding the Improvement Plan, please see the MCEM After-Action Report/Improvement Plan Standard Operating Procedure.

## **Implement Improvement Plan**

Implementation of the Improvement Plan recommendations is a key step in transitioning back to the preparedness phase. The Improvement Plan recommendations need to be assigned and reviewed as part of the plan update process. For recommendations/corrective actions to be useful during this process, they need to be part of a larger conversation with the department/divisions (updates to processes and procedures outside of the COOP may be necessary before moving forward).

## **ROLES AND RESPONSIBILITIES**

### **COOP Program Manager Roles and Responsibilities**

- Manage the overall COOP Program and serve as the primary point of contact
- Support all Advisory Team members and COOP Leads
- Initiate and facilitate all COOP Program meetings and workshops
- Meet regularly with the Advisory Team to develop new strategies and improvement plans for the ongoing maintenance of COOP
- Coordinate with Training and Exercise Coordinator on training, exercising and tracking
- Develop and maintain the COOP Base Plan and the Annex template development

**DRAFT**

- Manage the Assessment and Reporting Process to ensure COOP compliance
- Manage the Multnomah County Emergency Management (MCEM) COOP Annexes

### **COOP Advisory Team Roles and Responsibilities**

- Provide input and assistance to COOP leads during plan development and maintenance
- Collaborate on the interdependencies between the departments/divisions and the advisory team support functions/areas (i.e. Facilities, IT, Records, and Training)
- Meet regularly with the COOP Program Manager to develop new strategies and improvement plans for the ongoing maintenance of COOP
- Participate in the Assessment and Reporting process
- Including all COOP Leads roles and responsibilities below

### **COOP Leads Roles and Responsibilities**

- Be available for COOP Program Meetings and Trainings
- Be an active participant in the COOP development and maintenance process for their department/divisions (Annex development and updates)
- Message the COOP Program and the Assessment and Reporting requirements to their respective departments/divisions
- In-depth understanding of the functions within their department/divisions (including essential functions, job descriptions, and roles and responsibilities)
- Commitment to ensuring delivery of services even during a disaster or interruption of normal operations
- Understanding of or a desire to learn more about the interdependencies within the County
- Ability to relationship build and work cooperatively with multiple groups
- Be the voice for their department regarding COOP concerns, gaps, limits, risks

### **3. OPERATIONAL SCENARIOS**

#### **Scenario 1: Loss of access to facility**

When a county facility is rendered inoperable , disrupting the ability to conduct essential functions, the operation of impacted essential functions may be relocated to an alternate facility or conducted remotely. Departments/divisions should assess the situation and coordinate with internal service providers to estimate the length of disruption and if relocation is the best option.

Departments/divisions should coordinate with leadership and with Facilities (FM Dispatch) to determine if there is available space in non-impacted facilities that meets the requirements for conducting the essential functions.

In some cases, the number of staff assigned to an alternate facility may be limited due to limited space or resources. This may require prioritization of space for staff who are conducting essential functions and different reporting instructions for other staff. Some essential functions may also be able to be conducted remotely. If the estimated duration of the facility disruption is only a few days, opportunities for teleworking should be considered.

#### **Scenario 2: Loss of services due to a reduced workforce**

Some continuity incident scenarios might result in staffing shortages, such as a pandemic outbreak or after a major disaster that impacts transportation networks. The COOP would be activated in order to prioritize staffing resources for conducting essential functions and to implement orders of succession and delegations of authorities as necessary. In a reduced workforce scenario department/division leadership should make efforts to check on the welfare of absent staff.

DRAFT



Pandemic scenarios may include specific recommendations from Multnomah County Health Department that will influence decisions supporting remote work environments.

### **Scenario 3: Loss of services due to equipment or systems failure**

A disruption to county operations can occur due to communications/IT outages or special equipment failures. Special attention is paid to the essential systems needs for each department/division in the annexes. Understanding the dependencies between essential functions and essential systems as well as alternate methods of conducting work will aid in the determination of risk mitigation measures and overall prioritization of the recovery of essential systems.

## **4. CONTINUITY OF OPERATIONS ELEMENTS**

### **MISSION ESSENTIAL FUNCTIONS**

Mission essential functions (MEFs) enable each department/division to provide vital services for county personnel/staff and the community. Each COOP includes an annex centered on the department's/division's mission essential functions. It serves as an operational guide to inform the relocation of staff to a continuity facility and the backup of essential records and systems 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.

For each mission essential function identified in the annex, 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.

## Prioritization of MEFs

In addition to identifying which functions are necessary to support 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 mission essential functions according to time criticality:

RTO Tier	Ratings	Priority
1	<b>Immediate:</b> These functions have a direct and immediate effect on the organization to ensure the safety of individuals and protect property.	0-12 Up to 24 hours
2	<b>Critical:</b> These functions can be delayed until Tier 1 functions are restored must be operational within 72 hours	24-72 hours
3	<b>Necessary:</b> These functions can be delayed until Tier 1 and Tier 2 functions are restored but must be operational within one week.	72 hours - 1 week
4	<b>Important:</b> 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

## CONTINUITY PERSONNEL AND ROLES

Key positions have been identified to fulfill important roles and responsibilities for both the continuity planning process and activation. Some roles may not be required depending on the nature and scope of the disruption. A more detailed description of roles and responsibilities can be found in the Continuity of Operations Base Plan.

DRAFT

COOP Role	Responsibility
Department/Division Leadership	<ul style="list-style-type: none"> <li>● Assess the situation and make a determination to activate COOP</li> <li>● Determine the scale of the COOP activation by               <ul style="list-style-type: none"> <li>○ Identifying functions that can be deferred or temporarily suspended during a COOP activation in alignment with the mission essential functions</li> <li>○ Ensuring that the level of activation is in alignment with supporting the pre-identified mission essential functions</li> </ul> </li> <li>● Consult with and advise appropriate officials during the implementation of COOP</li> <li>● Provide direction, guidance and support during an incident to ensure that the mission essential functions can be performed</li> </ul>
Lead	<ul style="list-style-type: none"> <li>● Liaison to the COOP Program Team</li> <li>● Provides direction and guidance on the development of continuity plans</li> <li>● Participates in COOP Team meetings and trainings</li> <li>● Provides updates to their department/division on changes, revisions and updates made to the program</li> </ul>
Planning Team Member	<ul style="list-style-type: none"> <li>● Works with the COOP Lead on the development of continuity plans and annual updates</li> <li>● May participate in the COOP trainings</li> <li>● May act as a backup for the COOP Lead</li> </ul>
Activation Authority	<ul style="list-style-type: none"> <li>● Makes the decision to activate COOP</li> <li>● Makes the decision to begin relocation and/or Reconstitution</li> </ul>
Relocation Manager	<ul style="list-style-type: none"> <li>● Manages the relocation of key personnel to an alternate facility</li> </ul>
Reconstitution Manager	<ul style="list-style-type: none"> <li>● Manages the return of key personnel to primary facility</li> <li>● Ensures the resumption of normal business operations</li> </ul>

## ORDERS OF SUCCESSION

Orders of succession are activated when leadership is unable or unavailable to execute their duties during an emergency. Departments/divisions must establish, disseminate, and maintain their orders of succession by COOP critical positions. While the focus should be upon the skills, knowledge and training necessary for holding a specific position other factors may need to be considered like:

DRAFT

- Is the successors availability to work during COOP events (location, personal responsibilities, etc.)
- Is the successors expected to perform other functions (EOC positions, ESF leads, etc.)?
- Does the successors have the appropriate authority/clearance for that position (HIPAA training, background checks, etc.)

An order of succession requires sufficient depth. For larger departments/divisions it may be expeditious to name more than one or two successors for certain principal positions.

Orders of Succession should align with and support Delegations of Authority.

## **DELEGATIONS OF AUTHORITY**

Delegations of authority for each department/division are listed in the COOP annexes. Delegation of authority should be exercised only when immediate action is required and the primary authority is unavailable. Delegations end when the primary authority is available to resume their responsibilities.

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

There are two categories of authority that should be addressed:

- Emergency authority
- Administrative authority

# DRAFT

**Emergency authority** refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP, deciding whether to evacuate a building, or determining which personnel should report for their duties.

**Administrative authority** refers to the ability to make decisions that have effects beyond the duration of the emergency. Unlike emergency authority, administrative authority does not have a built-in expiration date. Such decisions may involve policy determinations, allocations of fiscal and non-monetary resources, or have labor relations impacts.

Each department/division annex has identified the authority to be delegated, position holding authority, and limitations to their authority.

## **ESSENTIAL RECORDS**

Essential Records are those records that regardless of media, if damaged or destroyed or made inaccessible would disrupt organization operations and information flow, causing considerable inconvenience and require replacement or recreation at a substantial expense. In Continuity of Operations events, essential records are those records to which personnel must have access to in order to carry out essential functions.

Essential records should relate directly to, and support, mission essential functions. This generally means only a small percentage of records overall would be considered essential. Essential records should include the continuity plan, staff contact information, access to databases, and financial/payroll records. Records should be accessible within minutes or hours after an event.

Some questions to ask when identifying essential records:

- Where is the information and how is it accessed?
- What is the alternate method of conducting work without the use of electronic essential records?
- Do the records contain information that is vital to our service provider partners or other agencies?
- Do the records contain information that the public needs in an emergency?
- What is needed immediately vs. what can wait a few days or a few weeks?

Types of essential records may include (but are not limited to):

- Inspection Forms
- Permit Forms
- Staff Contact Information
- Operations Manuals/Handbooks
- Property Maps (or other map based tools)
- Employee Records
- Client Records and Database
- Variety of software based tools/forms

## **ESSENTIAL SYSTEMS AND RESOURCES**

Essential Systems and Resources are the software, applications, databases and information technology related services and equipment that are needed to support the Mission Essential Functions. Information Technology (IT) will use this information to determine backup and recovery requirements of essential systems to be able design and implement solutions that can provide the prompt and effective continuation or resumption of IT services and technology. This information will also be used to develop disaster recovery plans that prioritize recovery actions to support COOP recovery objectives. By clearly identifying your resource needs for relocation and/or telework, it will help IT determine how to provide you with the access to the technology that you use following an event.

**DRAFT**

When identifying essential systems and resources, the below questions will help IT understand the impact of to your business following an event and what your needs are regarding the recovery of the essential systems.

- What is the importance of this essential system compared to other essential systems?
- Would it be categorized as Critical, High, Medium, Low?
- What order of importance in each category would it be?
- How many County staff use the essential system?
- Does the public use this system?
- Does it contain information that the public needs in an emergency?
- What is the alternate method of conducting work without the use of this technology?
- How long can the business afford for the essential system to be inoperable? (RTO)
- How much data can the business afford to lose when something happens to the essential system (data loss, cyber attack)? (RPO)

This question helps IT understand regulatory requirements for the essential system.

- Does the essential system contain, transmit or store any protected data?  
If yes, what type of protected data (HIPAA, PII and/or CJIS)?

These questions help IT understand how you access the essential system.

- How is the essential system accessed? (web browser or client software installed)
- Do you use your county user ID and password to access it or does it require a separate login?

- Is your access authorization process documented? (If you need to add\remove access to the essential system following an event, do you have a documented process to follow?)
- Who fulfils the access authorization, IT, your department or a 3rd party\vendor?
- Can you only access the essential system while on the county network or connected via VPN?

This question helps IT understand their role in supporting the technology you need to perform MEFs.

- Is the essential system managed by a 3rd party vendor or business partner? (OCHIN, DOC, Multco Marketplace, Bank of America, etc.)
- If yes, Is there a Service Level Agreement in place with the 3rd party vendor or business partner regarding availability, recovery time and data loss?

These questions help IT understand your needs to support alternate work locations.

- What type of hardware or equipment (workstations, laptops, printers, etc.) is needed by your staff to be able to perform their duties in support of your Mission Essential Functions?
- What software is needed by your staff to be installed on your devices to be able to perform their duties in support of your Mission Essential Functions? (Excel, Powerpoint, label printer software, etc.)
- Do you have any staff that have accessibility needs that require specific hardware or software?

DRAFT



Types of essential systems and resources may include (but are not limited to):

<u>Systems</u>	<u>Resources</u>
ArcGIS	PCs\Laptops\tablets
Tririga	Phones
Workday	Scanners
Client Databases	Printers
Google eMail	Cell phones
Call Center	Software

## **ACTIVATION PROCESS AND COMMUNICATION**

### **Alert Procedures**

Depending on the situation, COOP 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 activation, each department annex contains the procedures to notify personnel for on-duty emergencies, off-duty emergencies, and ongoing communications.

### **Alternate Facilities**

A continuity event may necessitate relocation to an alternate facility. An alternate facility is an established location selected to meet the needs of the department/division and allow for the continuation of essential functions. The location of

**DRAFT**

the alternate facility will depend on the scale of the event. Multnomah County Facilities will assist in selecting appropriate alternate locations to eliminate conflicts when multiple departments activate their COOP and need to relocate.

Coordination with facilities is critical, even for small scale events. Various buildings may be going through renovations, maintenance or be experiencing issues unrelated to the COOP event.

The process for requesting an alternate facility and relocation criteria are detailed in the COOP annex.

## **Go Kits**

Go kits are pre-staged kits that contain essential information or tools that may be needed for relocation. Kits may contain copies of forms or documents, equipment, and supplies to conduct their continuity duties. Not every department/division will require a Go-Kit but if provided they should be regularly updated and restocked and included as part of COOP training for that group.

Each COOP contains an annex specific to the maintenance and tracking of Go Kits, if used.

## **Devolution**

In the event that a continuity event renders a department/division incapable of performing mission essential functions those actions will need to be re-assigned either to another department/division or to a contracted service provider.

Devolution plans are communicated and coordinated during the planning phase. Roles, responsibilities and authorities should be clearly stated. Devolution to outside service providers and/or contractors should be managed through a

**DRAFT**

form of contract (Mutual Aid Agreement, Memorandum of Understanding, Intergovernmental Agreement, professional services/procurement contract, etc.).

Devolution assignments and any related contracts or agreements are detailed in the COOP annex.

### **List of Support Documents**

The COOP is intended to provide guidance during a continuity event and will not contain all of the processes and procedures for the various tasks that will need to occur. Each department/division is encouraged to have their own Emergency Operations Plan (EOP) or Emergency Action Plan (EAP). Additional departments/divisions may have Standard Operating Procedures (SOPs) that guide operations around essential functions.

The COOP annex allows for the inventory/cataloging of these plans and procedures to expedite COOP activation and ensure quick action around the continuation of essential functions.

## 5. PERSONAL PREPAREDNESS AND SAFETY

Some COOP events, especially those related to natural or human-caused disasters, may have widespread impacts. These events may limit an individual's ability to perform their role during COOP events. Personal safety and family preparedness will always be a top priority during any COOP event. If an individual is unable to perform their COOP responsibilities every effort should be made to communicate that to the department/division's leadership.

For essential personnel there are preparedness and mitigation actions that can help ensure that you are available for COOP activations in most cases.

Things to consider:

1. What types of disasters are most likely to affect you or your family?
2. Have you had a conversation with your family about your role as an essential employee?
3. What personal factors could limit your availability?
  - Child care needs
  - Adult care needs
  - Animal care needs
  - Transportation
4. Do you have a communication plan?
  - With family
  - Children's school/ daycare
5. Am I approved for and prepared for telework responsibilities?

There are several County, State and Federal resources for Personal and Family Preparedness. The more prepared you are as an individual and a family the more available you may be for COOP activations. Many of these resources can be accessed through the Multnomah County Emergency Management website (<https://multco.us/em/emergency-preparedness>).

DRAFT

## 6. PLANNING PROCESS

### TRAINING AND EXERCISE

Departments/divisions are required to participate in at least one (1) COOP training or exercise event per year. MCEM will host quarterly events open to the departments/divisions, some providing training within components of COOP, others offering exercise opportunities. COOP training and/or exercise events hosted at the local, regional, or state-wide level will also meet this annual requirement.

In the event of an actual, real-world COOP activation, all participating departments/divisions will receive credit for annual training and exercise upon completion of an After-Action Report/Improvement Plan.

Training Options		
Quarterly Training	COOP-specific training or exercise opportunities offered each quarter with varying objectives	Hosted and facilitated by the MCEM
Annual Training and/or Exercise Event	Any training or exercise participation external to the county quarterly opportunities that focuses on COOP	Hosted by external organizations, individual departments/divisions, contractors, etc.
COOP Add-On Training	Adding COOP specific injects/scenarios to already scheduled non-COOP focused training or exercise events for various departments or divisions	Departments/Divisions to coordinate with MCEM Training and Exercise Coordinator
Activation	Actual real world COOP activations	Credit will be given for event activation in COOP is activated. MCEM Training and Exercise Coordinator will assist with tracking

DRAFT

At a minimum the department/division COOP lead, and those directing mission essential functions, should participate in the trainings and exercises. Ideally, the entire department/division should participate on some level in annual COOP training and exercise efforts.

## **PLAN MAINTENANCE**

The department/divisions COOP lead is responsible for coordinating edits and updates to the COOP annex and ensuring those documents are in the COOP plan file. Updates will be completed annually and will be assessed according to the performance metrics outline in the Plan Review Process.

More frequent edits and updates may be required based on:

- COOP activation and implementation (recommendations for improvement from the After Action Report)
- Training and exercise results and feedback
- Changes in personnel
- Changes in department/division policy, procedures or organizational structure
- Procurement of new essential systems or applications

Approvals and redistribution as appropriate will be completed after the Plan Review Process.

## **PLAN REVIEW PROCESS**

The Base Plan will be reviewed and updated annually by the Multnomah County Emergency Management (MCEM) and the COOP Advisory Team. There will be a review and comment period open to the COOP Program Team. More frequent updates to the Base Plan will be made as appropriate.

**DRAFT**

Department/Division annex sets will be reviewed annually by the Multnomah County Emergency Management COOP Program Manager and the COOP Advisory Team. Reminders, notifications and follow-up will be sent to all departments/divisions as part of the plan maintenance and review process.

**ASSESSMENT AND REPORTING PROCESS**

In addition to review of the annex sets which cover the required COOP elements, departments/divisions will also be assessed based on COOP program participation which includes training and exercises.

Plans will be assessed and scored based on the following scale:  
The following components will be scored:

Score	Description
3	All required information provided
2	Most required information provided, some additional information recommended
1	Minimal required information, significant information recommended
0	No information provided

**1. Annex Documents (0-3 score for each annex document listed)**

- Mission Essential Functions
- Continuity Personnel
- Orders of Succession
- Delegations of Authority
- Essential Records
- Essential Systems and Resources

**DRAFT**

- Activation/Communications
- Alternate Facilities
- Go Kits
- Devolution
- Supporting Documents
- Approvals (signature page)

## **2. Program Participation (0-3 score overall for participation)**

- Identification of and active, participating COOP Lead for the department/division
- Attendance at COOP Program meetings and/or workshops
- Delegation of a representative to attend meetings when COOP Lead is unavailable
- Communication with the COOP Program Manager regarding necessary absences from required meetings/workshops

## **3. Training and Exercise Participation (0-3 score overall)**

- Attend at least one (1) training or exercise annually that is COOP focused
  - Incorporates COOP elements
- OR, Have activated COOP for a real word event
  - Document the event
  - Provide an After Action Report (AAR)
  - Develop an Improvement Plan based on the AAR findings and recommendations

Multnomah County Emergency Management is available to support departments/divisions on the development of the After Action Report and Improvement Plan.

Once an initial review is conducted, departments/divisions will be notified of the scoring which will include recommendations, if needed. An example of the scoring matrix is in Figure 7.

**DRAFT**



**Figure 7. Sample Scoring Matrix**

	DCS - Department of Community Services	Director's Office	Business Office	Animal Services	Elections	Land Use Planning	Transportation Bridges	Transportation Roads
	Approvals							
	Mission Essential Functions							
	Continuity Personnel							
	Orders of Succession							
	Delegations of Authority							
	Essential Records							
	Essential Systems and Resources							
	Activation/Communications							
	Alternate Facilities							
	Go Kits							
	Devolution							
	Supporting Documents							
	Program Participation							
	Training and Exercise Participation							
	<b>TOTAL AVERAGE SCORE</b>							

DRAFT

# Conversation Starter- COOP EVENT CHECKLIST

## Preparedness

- Do I know where the COOP plan is
- Are Go Kits maintained (if applicable)

## Response

- Criteria to activate COOP
- Who makes activation decision
- Notification Protocol
  - few phone calls to leadership or Everbridge notification?
  - If Everbridge notification, contact MCEM DO
- Is an alternate facility needed?
  - Yes - make request to FM Dispatch (or Tririga depending on timeline and urgency)
  - Yes - Communicate alternate facility information to essential staff
  - No - Ensure that telework is tracked in Workday by essential staff
- Who is in charge of relocation (if moving to an alternate facility)

## Recovery

- Criteria for moving back to primary facility
- Who makes the decisions to reconstitute
- Notify FM Dispatch that you are returning to primary facility and alternate facility will no longer be in use

## Mitigation

- Schedule a debrief
  - department/division leadership as appropriate
  - All employees who participated in the event
  - Invite MCEM Training and Exercise Coordinator to help facilitate (optional)



- Complete an after action report
- Develop or update the Improvement Plan
- Follow through and continue to work on recommended and corrective actions identified in the Improvement Plan



# DRAFT ANNEX SET

## OVERVIEW

This annex to the Multnomah County Continuity of Operations Plan (COOP) provides guidance for the INSERT DEPT/DIV NAME in carrying out responsibilities and ensuring the mission essential functions are continued during an emergency or threat that affects normal operations.

## KEY COOP PERSONNEL

Position	Name/Title	Facility/Location	Phone	Email
COOP Lead				
COOP Lead Alternate				

## ACTIVATION

Activation of the COOP is a scenario-driven process that allows flexible and scalable responses to all-hazards incidents that could disrupt operations with or without warning, and during work or non-work hours. Activation is not required for all emergencies or disruptions, as other actions may be more appropriate.

The decision to activate COOP and all related actions will be tailored for the situation and based on projected or actual impact and whether or not there is warning.

Steps for Activation			

# DRAFT

## MAINTENANCE

This annex will be reviewed annually and revised as necessary. Occasionally, interim revisions may be needed based on significant changes to staff, information technology dependencies, or general reorganization of a department. Tracking changes allows for consistency and accountability across the program.

Change #	Date of Change	Individual Making Revision	Section, Annex, Page	Description

## DISTRIBUTION

Keeping record of distribution ensures that all key personnel are aware of changes to the plan.

This plan is intended to be For Official Use Only (FOUO) unless determined otherwise by department directors. Redacted copies that are distributed (if applicable) should also be tracked to ensure future updates are made available with similarly redacted information.

Title/Department	# of Copies	Title, Department	# of Copies

DRAFT

## APPROVALS

This COOP Annex was prepared by the INSERT DEPT./DIV NAME to develop, implement and maintain a viable continuity capability. It guides the specific continuity efforts for INSERT DEPT./DIV NAME and complies with County policy and state regulations and is consistent with federal continuity guidance. The plan annexes as found in this document have been reviewed by INSERT DEPT./DIV NAME management to ensure completion, accuracy, and consistency.

---

Signature

---

Printed Name and Title

Date

---

Signature

---

Printed Name and Title

Date

---

Signature

---

Printed Name and Title

Date

---

Signature

---

Printed Name and Title

Date

DRAFT

## ANNEX A: MISSION ESSENTIAL FUNCTIONS

The INSERT DEPT./DIV NAME has identified and prioritized the essential functions for their area of responsibility. The essential functions identified in this annex are those services and activities that are determined to be critical to the operations of the INSERT DEPT./DIV NAME and must continue functioning during an emergency. The recovery time objective (RTO) is used to prioritize these activities in order of importance

RTO Tier 1

RTO Tier 2

RTO Tier 3

RTO Tier 4

0-24 hours

24 -72 hours

72 hours - 1 week

1 week - 30 days

### Essential Functions and Priority Order

Table 1 is a basic description of the essential functions for this department/division. These essential functions will inform the need for resources, including personnel, facilities, infrastructure and will help identify interdependencies with other departments and service providers.

**Table 1. Essential Functions and Priority Order**

Priority	RTO Tier	Essential Function	Description of Function

### Essential Functions (EF) Required Resources

Table 2 identifies the staff assigned to perform the essential functions as well as the required resources or tools need to perform that function. Required personnel should be listed by

DRAFT



position or title not proper name, for example: bridge operator, county engineer, etc. Resources include items such as: laptops, cell phones, printers, plotters, radios, etc. It is assumed that basic office supplies will be provided/available and do not need to be listed here. The level and manner of support depends on the nature of the incident and it is assumed to be flexible and scalable.

**Table 2. EF Required Resources**

Essential Function	Required Personnel	Required Resources	Additional Information
	#		

**Essential Functions Interdependencies**

Table 3 lists the identified supporting service providers or agencies and interdependencies that are part of and/or influence each essential function process.

**Table 3. EF Interdependencies**

Essential Function	Service Provider/Agency	Summary of Support Provided	Contact Information

## ANNEX B: CONTINUITY PERSONNEL

Key positions have been identified to fulfill important roles and responsibilities for both the continuity planning process and activation. Some roles may not be required depending on the nature and scope of the disruption.

COOP Role	Responsibility
Lead	<ul style="list-style-type: none"> <li>• Liaison to the COOP Program Team</li> <li>• Provides direction and guidance on the development of continuity plans</li> <li>• Participates in COOP Team meetings and trainings</li> <li>• Provides updates to their department/division on changes, revisions and updates made to the program</li> </ul>
Planning Team Member	<ul style="list-style-type: none"> <li>• Works with the COOP Lead on the development of continuity plans and annual updates</li> <li>• May participate in the COOP trainings</li> <li>• May act as a backup for the COOP Lead</li> </ul>
Activation Authority	<ul style="list-style-type: none"> <li>• Makes the decision to activate COOP</li> <li>• Makes the decision to begin relocation and/or reconstitution</li> </ul>
Relocation Manager	<ul style="list-style-type: none"> <li>• Manages the relocation of key personnel to an alternate facility</li> </ul>
Reconstitution Manager	<ul style="list-style-type: none"> <li>• Manages the return of key personnel to primary facility</li> <li>• Ensures the resumption of normal business operations</li> </ul>

The INSERT DEPT./DIV NAME has identified the following personnel to fulfill these roles:

Role	Personnel	Contact Information
COOP Lead		
COOP Planning Team Member		
COOP Planning Team Member		
COOP Planning Team Member		
Activation Authority		
Relocation Team		
Reconstitution Manager		

DRAFT

## ANNEX C: ORDERS OF SUCCESSION

Orders of succession are provisions for the assumption of senior leadership positions during an emergency when incumbents are unable or unavailable to execute their duties. They allow for an orderly and predefined transition of leadership. Developing orders of succession for key positions is intertwined with determining delegation of authority.

Identify key positions by the position title and not by the name of the person currently in the position.

Principal Position 1	Designated Successors	
	1.	
	2.	
	3.	
Principal Position 2	Designated Successors	
	1.	
	2.	
	3.	
Principal Position 3	Designated Successors	
	1.	
	2.	
	3.	
Principal Position 4	Designated Successors	
	1.	
	2.	
	3.	

## ANNEX D: DELEGATIONS OF AUTHORITY

Delegations of authority specify who is authorized to make decisions or act on behalf of the department/division. A department/division's predetermined delegations of authority will take effect when normal channels or direction are disrupted and end when these channels have resumed.

The delegation of authority can be full or limited. For full authority, ensure that the successor has the appropriate experience, knowledge and access privileges to be able to execute the duties of that role. Please describe any limited delegations of authority.

Successor to Principal Position	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 1: [INSERT POSITION TITLE FROM ANNEX C]		
1.		
2.		
3.		
Principal Position 2: [INSERT POSITION TITLE FROM ANNEX C]		
1.		
2.		
3.		
Principal Position 3: [INSERT POSITION TITLE FROM ANNEX C]		
1.		
2.		
3.		
Principal Position 4: [INSERT POSITION TITLE FROM ANNEX C]		
1.		
2.		
3.		

DRAFT

## ANNEX E: ESSENTIAL RECORDS

Essential records refers to information systems and applications, electronic and hardcopy documents, references databases, and records needed to support essential functions during a continuity event.

Category	Description	Example
Record/File/Database	The type of record or name of the form, record, file or database that is needed	Inspection Form Permit Form Client Database Workday
Form of Record	The format of the record	Hardcopy, electronic
Record Owner	Who manages and maintains the record	IT (likely for software based forms of record like Workday) The department (likely for internally created forms and applications)
Web/Cloud Based System	Indicate yes or no if the record can be access via web or cloud based technology	Workday = Yes
Access Dependencies	Does how are the records accessed create a barrier	Login required (only specific people have access) VPN required (needs to go through County server)
Manual Work Around	In a no-tech/low-tech environment how are the records accessed	Paper based (hardcopy) forms

Essential Function	Record/File/ Database	Form of Record	Record Owner

Record/File/Database	Web/Cloud-Based System (Y/N)	Access Dependencies	Manual Work Around

DRAFT

## ANNEX F: ESSENTIAL SYSTEMS AND RESOURCES

Essential systems and resources include information systems and applications, databases and software that are critical as supporting elements to the continuity plan and program. Without these systems and resources it would not be possible to continue mission essential functions.

Any electronic Essential Record identified in Annex E should be listed in this annex as an Essential System.

COOP Tier	Essential Function

Name	Importance	Priority	Type	RTO	RPO

COOP Tier	Essential Function

Name	Importance	Priority	Type	RTO	RPO

Essential Function	IT Resource Required

DRAFT

## ANNEX G: ACTIVATION/COMMUNICATIONS

Department/division leadership or designees are responsible for maintaining plans and procedures for communicating and coordinating activities with staff before, during, and after a continuity event.

### Internal Notifications

For large events or any event that overwhelms a department/divisions ability to contact staff you may contact the Multnomah County Emergency Management (MCEM) Duty Officer

503-988-6700 Option 1

and request that an Everbridge Notification be sent in your behalf. The Duty Officer will ask for:

- Event information (i.e. building fire, storm damage, etc.)
- Location (affected facility, if applicable)
- Alternate facility instructions (if applicable)
- Message details
- Point of contact for questions

For smaller events requiring minimal staff notifications that are within the capacity of the department/division, please indicate the notification method (email, phone call, text, website, etc.) and procedure.

	Notification Method	Procedure
During Work Hours		
During Non-Working Hours		

DRAFT

## ANNEX H: ALTERNATE FACILITIES

To request an alternate location please use the following process:

1. Submit a request through Tririga
2. Contact FM Dispatch directly for expedited or time sensitive request 503-988-3779 or [fmdispatch@multco.us](mailto:fmdispatch@multco.us).
3. ?
4. ?
5. ?
6. ?

Primary Facility	
Building Name	Location

Essential Function	Function can be performed via Telework (Y/N)

Relocation Requirements			
Essential Function	# of staff to relocate	Resource Needs (laptops, projectors, phones, etc.)	Comments

Special Considerations		
Essential Function	ADA/Access and Functional Needs Criteria	Additional client support needs (receiving areas, interview rooms, security)

DRAFT



## ANNEX I: GO KITS

Go kits are prepared to support essential functions when relocation is required. Kits may contain copies of forms or documents, equipment, and supplies to conduct their continuity duties. Not every department/division will require a Go-Kit and can indicate as such in the table below. Kits should be regularly updated and restocked.

In some request additional items may be required and should be addressed when contacting Facilities to request an alternate facility.

<p>Our department/division does not utilize Go Kits. Forms or documents, equipment, and supplies are accessible at various locations without the need to transport.</p>	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; width: 40px; height: 20px; margin-right: 10px;"></div> <div style="border-bottom: 1px solid black; width: 80px; margin-right: 10px;"></div> <div style="font-size: small;">Initial</div> </div>
---	--

Essential Function	Go-Kit Inventory	Go-Kit Location/Description

## ANNEX J: DEVOLUTION

Devolution will transfer authority and responsibility for essential functions from primary operating staff and facilities to another authority. Departments/divisions may devolve to either another county department/division or to an outside contracted provider depending on the essential functions being performed.

Category	Description
Essential Function	List the essential function that will devolve (be transferred to another authority)
Transferred To	What department/division or outside service provider/contractor will perform the essential function
Point of Contact	Provide a phone number or other contact information for the primary point of contact for the receiving authority. Should be consistent with contract language (if applicable). Avoid use of specific names (or other information that can quickly become dated) when possible. Provide position name, phone, etc.
Contract/Agreement	If a contract or agreement is required for the receiving authority to perform the essential function it should be referenced here. If appropriate a link can be provided.
Additional Comments	Reference any key notes that would be beneficial for the COOP activation team (special conditions that you want to highlight from the contract, etc.)

Essential Function	Transferred To	Point of Contact (for receiving authority)

Transferred To	Contract/Agreement (if necessary)	Additional Comments

DRAFT

## ANNEX K: SUPPORTING DOCUMENTS

This reference table is intended to expedite COOP activation and ensure quick action around the continuation of essential functions.

Departments/divisions should list any supporting documents that will assist operations during a COOP event. Supporting documents may include Emergency Operations Plan (EOP), Emergency Action Plan (EAP), Standard Operating Procedures (SOPs), or technical guides for essential systems (IT run books, etc.).

List the document by name and provide a link or directions to locate or access the document as appropriate. If the document contains confidential, proprietary or secure information please note that in the location field. COOP staff should be trained on how to access the supporting documents, especially if the location is not listed for security reasons.

Essential Function	Document Name	Location

**Notes:**

Remove this page and replace it with Tab 4



# Planning Worksheets

## MISSION ESSENTIAL FUNCTIONS

Essential functions are based on the needs of the County's internal and external clients. Assigning a priority to the clients' needs helps COOP planners distinguish between essential and supportive functions.

Essential functions are the foundation for COOP programs and plans. Determining essential functions must be completed before moving to any other area of COOP.

Identifying essential functions requires an intimate understanding of all the organization's operations. Although many functions are important, not every activity the organization performs is an essential function that must be sustained in an emergency.

Essential functions are those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the general public and sustain the industrial and economic base. In short they are the organization's business functions that must continue with no or minimal disruption.

To arrive at a list of prioritized essential functions, a department/division must start with all business functions and progress logically through to the most essential according to the following:

1. Identify all functions (Worksheet A1 and A2)
2. Identify essential functions (Worksheet A3 and A4)
3. Determine essential function resource requirements (Worksheet A5, A6 and A7)
4. Prioritize essential functions (Form A)

DRAFT

## **1. Identify all functions**

To begin the process of identifying functions, first identify the areas of responsibility. Use the department/division's mission statement; values, goals and objectives; the organization chart; and a brief review of operating procedures, policies and regulatory authorities.

***Use Worksheet A1 to complete this task.***

Next, for each area of responsibility identified, list the functions performed and provide a brief description of the activities typically completed in the identified function.

***Use Worksheet A2 to complete this task.***

Peers/Coworkers are excellent sources of information on an organization's functions. COOP Planning Coordinators ought to collaborate with individuals from each division or branch of the organization or department and ask about the functions they and their coworkers perform on a day-to-day basis.

In addition, refer to County EOP, SOPs, budget justification reports, operational reports and job descriptions for information about functions performed by the organization. The mission statement and regulations promulgated by the organization will also contain information on functions performed by the organization.

## **2. Identify Essential Functions**

The COOP Planning Team in collaboration with senior management should determine the criteria for selecting essential functions. For example, if other departments/divisions/organizations are dependent on a particular function to continue their operations, then the function is probably an essential function. These criteria should be based on the

**DRAFT**



review of emergency plans, emergency operating procedures, and brainstorming sessions.

**Use Worksheet A3 to complete this task.**

A County may wish to identify the day-to-day business functions according to the following Recovery Time Objective (RTO) chart. Each tier represents the operational timeframe within which a function must be brought back “on-line,” and will help with establishing priorities when activation of the COOP plan is required.

**Use Worksheet A4 to complete this task.**

Keep in mind that a function may be more essential at certain periods throughout the year. For example, if employees are paid on the 1st and 15th of each month and disaster strikes on the 16th, payroll would not be a Tier I or Tier II function. However, if an emergency occurs on the 14th of the month, payroll will need to be reestablished within twenty-four hours to ensure personnel are paid. It is recommended that if time-sensitive or date-specific functions be considered as if the disruptive event were to take place immediately before the function needs to be accomplished. If an incident affects the County when the function is not time-critical, the implementation plan would be adjusted to keep that function at a lower priority for recovery.

RTO Tier	Ratings	Priority
1	<b>Immediate:</b> These functions have a direct and immediate effect on the organization to ensure the safety of individuals and protect property.	0-12 Up to 24 hours
2	<b>Critical:</b> These functions can be delayed until Tier 1 functions are restored must be operational within 72 hours	24-72 hours
3	<b>Necessary:</b> These functions can be delayed until Tier 1 and Tier 2 functions are restored but must be operational within one week.	72 hours - 1 week
4	<b>Important:</b> 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

### **3. Determine Essential Function Resource Requirements**

After the essential functions are determined, examine the processes and services that support them. Essential functions and their supporting processes and services are intricately connected. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services described for each function that are necessary to assure continuance of an essential function are considered critical.

Often, critical processes and services vary depending upon the emergency or if they have a time or calendar component. For example, a blizzard would make snow removal a critical service, while a flood event would not. Likewise, snow removal is a critical service in the winter, but not in the summer.

Building on the results documented in Worksheet A2, Worksheet A4 helps to further evaluate essential organization or department functions. If, at any point, the function is determined not to be essential, it is not necessary to complete the questionnaire for that function when completing Worksheet A5.

If the function under evaluation is determined to be essential, any supportive functions on which it depends must also be considered essential and should be analyzed separately using Worksheet A5. Essential functions may depend upon functions not previously identified as essential and upon functions both within and outside the County.

If supportive essential functions are identified they should be incorporated into the County Tier system and documented throughout the rest of the planning processes as critical to supporting the County mission.

***Use Worksheet A5 to complete this task.***

**DRAFT**

Next complete Worksheet A6 for each essential function. This worksheet will help identify the essential processes or services, personnel, records, equipment and resources for each essential function, as well as the systems that support them. Be sure to include essential back room functions such as Payroll, Accounts Receivable and Accounts Payable. In addition, for IT systems, telecommunications and/or data that supports a primary essential function or supportive essential function, specify the effects if the IT systems or data are not available.

***Use Worksheet A6 to complete this task.***

Finally, use Worksheet B7 to identify, for each essential function, the senior management and technical positions needed to lead the essential functions and the support positions necessary to carry it out. Remember to specify the position, not an individual by name. For this exercise, assume that you have access to all personnel at the time you need all personnel.

***Use Worksheet A7 to complete this task***

#### **4. Prioritize Essential Functions**

Once all essential functions and their supporting critical processes and services have been identified, prioritize the functions according to those activities that are pivotal to resuming operations when an event occurs.

Prioritization requires determination of the following:

- Time criticality of each essential function.
- Sequence for recovery of essential functions and their critical processes.

***Use Form A: Prioritized Listing of Essential Functions to complete this task.***

After the prioritized list of essential functions is complete, the COOP Planning Coordinator needs to present the list to senior management for their input and concurrence.

**Notes:**

## WORKSHEET A1: AREAS OF RESPONSIBILITY

Use the department/division's mission statement; values, goals and objectives; the organization chart; and a brief review of operating procedures, policies and regulatory authorities to identify the department/division's general areas of responsibility.

Areas of Responsibility	
1	Example: Roadway Maintenance
2	
3	
4	
5	
6	
7	
8	
9	
10	

**Notes:**

DRAFT

**Notes:**

## WORKSHEET A2: FUNCTIONS PERFORMED BY AREA OF RESPONSIBILITY

Complete Worksheet A2 for each area of responsibility identified in Worksheet A1. List the functions performed and provide a brief description of the activities typically performed in the identified function.

Number	Functions Performed	Brief Description
1	Example: Visual inspection of roadways	Example: Personnel perform routine inspection of roadways in jurisdiction weekly, driving 275 miles
2		
3		
4		
5		

**Notes:**

**Notes:**



# WORKSHEET A3: CRITERIA FOR SELECTING ESSENTIAL FUNCTIONS

Based on the review of emergency response plans, emergency operating procedures and brainstorming sessions among COOP Planning Team members, department/division employees and partner organizations, identify criteria for selecting essential functions.

Number	Criteria
1	Example: Function supports normal emergency response activities related to access to emergency transportation routes

**Notes:**

**Notes:**

## WORKSHEET A4: ESSENTIAL FUNCTIONS BY TIME FRAME

Tier	Division/Area	Function	Description
Tier 1: 0-12 Hours (Up to 24 hours)	<b>Tier 1 functions</b> are the functions that have a direct and immediate effect on the organization to ensure the safety of individuals and protect property.		
1.1			
1.2			
1.3			
Tier 2: 24 - 72 hours	<b>Tier 2 functions</b> are those that can be delayed until Tier 1 functions are restored must be operational within 72 hours. These functions may be dependent on the operational status of Tier 1 functions		
2.1			
2.2			
2.3			
Tier 3: 72 hours - 1 week	<b>Tier 3 functions</b> are functions that can be delayed until Tier 1 and Tier 2 functions are restored but must be operational within one week. Tier 3 functions may be dependent on the status of Tier 1 and 2 functions		
3.1			
3.2			
3.3			
Tier 4: 1 Weeks - 30 Days	<b>Tier 4 functions</b> can be delayed until Tier 1, Tier 2, and Tier 3 functions are restored but must be established within 30 days.		
4.1			
4.2			
4.3			

DRAFT

**Notes:**

## WORKSHEET A5: ESSENTIAL FUNCTIONS QUESTIONNAIRE

Building on the results documented in Worksheet A2, the objective of this worksheet is to further evaluate essential functions and develop measures to minimize. If, at any point, the function is determined to NOT be critical or essential, it is not necessary to complete the questionnaire for that function.

Area of Responsibility:

Function:

<p>Services this function provides: (Additionally identify any supportive functions upon which this function depends. Primary essential functions may depend upon functions not previously identified as essential or on functions both within and outside the organization/department. If the function under evaluation is in fact determined as essential, then supportive functions identified here are also essential and need to be evaluated separately using this worksheet)</p>	
1. The loss of this function would have the following effect on the organization/department:	
Check	
	Catastrophic effect on the County
	Catastrophic effect on one department/division
	Moderate effect on the County
	Moderate effect on some departments/divisions
	Minor effect on the County or some departments/divisions
2. How long can this function continue without its usual operation of information systems and telecommunications support? Assume that loss of support occurs during your busiest, or peak period	

DRAFT

Check	Time Period	Check	Time Period	Check	Time Period
	Hours		Up to 3 Days		Up to 3 Weeks
	Up to 1 Day		Up to 1 Week		Up to 1 Month
	Up to 2 Days		Up to 2 Weeks		Other (specify)
Indicate the peak time(s) of year and/or peak days of the week and/or peak time of day, if any, for this function and its associated applications					
(Month) Jan Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec					
(Day) Sun Mon Tue Wed Thu Fri Sat					
(Hour) AM: 1 2 3 4 5 6 7 8 9 10 11 12 PM: 1 2 3 4 5 6 7 8 9 10 11 12					

3. Are there any other peak load or stress considerations?
4. Have you developed/established any backup procedures (manual or otherwise) to be employed to continue this function in the event that the associated applications are not available? Consider how much data you can afford to lose.
If yes, how often have those procedures been tested?

5. The loss of this function would have the following legal ramifications due to regulatory statutes, contractual agreements, or law: (specify the area of exposure)

DRAFT

6. The loss of this function would have the following negative impact on personnel in this organization:
7. The loss of this function would keep us from supplying the following services to the public and other entities:
8. Specify any other factors that are to be considered when evaluating the impact of the loss of this function:
9. Are there ANY other supportive resources upon which this function depends (partner, vendor, software, unique resource, etc.) not already identified above?
10. Does an analysis of the responses to the above questions indicate that this function is still essential and/or critical to the organization? If yes, indicate below when such label is appropriate:

Always:
During the following period of the year:
During the following period of the month:
During the following day(s) of the week:
Other time period (specify):

**Notes:**



## WORKSHEET A6: CRITICAL PROCESSES AND SERVICES SUPPORTING ESSENTIAL FUNCTIONS

Complete a separate worksheet for each essential function. First, list essential activities or tasks that support that function in the left-hand column. Next, determine the personnel needed to perform that service (not specific names, but number and abilities can be considered), and in the last columns list all records, equipment and resources, and systems needed to make that essential function operable. In all categories, ask yourself a variety of questions, including such things as: vendor and partner agreements or relationships; software and supplies/equipment issues; workstation needs; vital records and documents required; and communications with organization personnel and system customers.

Area of Responsibility: Example: Roadway maintenance

Essential Function: Example: Roadway clearance - field verification of route is needed to ensure accessibility. (Clear debris as needed.)

Activity/Task	Personnel	Records	Equipment/Resources	Systems
Example: Drive route ASAP to ascertain if clear and accessible	Example: Team of 2 preferred	Example: Map/drawing of route Windshield survey/ damage assessment form	Example: Safety equipment (cones, gloves, etc.); signage (road closed)	Example: radio/cell phone

DRAFT

**Notes:**

# WORKSHEET A7: MANAGEMENT, TECHNICAL AND SUPPORTING STAFF

Complete a separate worksheet for each essential function. Complete this worksheet to identify, for each essential function, the senior management and technical positions (not persons by name) needed to lead the essential functions and the support positions necessary to carry it out. Assume that you have access to all personnel at the time you need all personnel.

Area of Responsibility:

Essential Function:

Senior Management Positions/Roles	Senior Technical Positions/Roles	Support Personnel Positions/Roles	Number Required

DRAFT

**Notes:**

## FORM A: PRIORITY OF ESSENTIAL FUNCTIONS

Essential Functions	Recovery Time Objective (RTO)	Priority

**Notes:**

DRAFT

## **DELEGATION OF AUTHORITY**

Every employee is important to the achievement of the department/division's mission. However, like critical processes and services, each essential function has associated key personnel and positions that are necessary to the continuity of operations. They represent strategically vital points in management and authority and underscore the essential functions that must be executed. If these positions are left unattended, the organization will not be able to meet client needs or fulfill its essential functions. That is why a comprehensive COOP plan always includes a succession planning and management component in the event these key positions suddenly become vacant. Succession planning and management ensures the continued effective performance by making provisions for the replacement of people in key positions.

Naming key personnel consists of the following two components:

- Delegation of Authority (Form B)
- Orders of Succession (Form C)

### **Delegation of Authority**

Delegations of authority specify who is authorized to make decisions or act on behalf of the department/division head and other key individuals. In COOP planning, delegation of authority ensures rapid response to an emergency situation that requires COOP plan activation.

Delegation of authority planning involves the following tasks:

- Identify which authorities can and should be delegated.
- Describe the circumstances under which the delegation would be exercised, including when it would become effective and terminate.
- Identify limitations of the delegation.

**DRAFT**

- Document to whom authority should be delegated.
- Ensure officials are trained to perform their emergency duties.

## **Identify Authority to be Delegated**

There are two categories of authority that should be addressed in a delegation of authority plan:

- Emergency authority
- Administrative authority

**Emergency authority** refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP plan, deciding whether to evacuate a building, or determining which personnel should report for their duties. In an emergency requiring COOP plan activation, COOP Planning Team members are often the natural choice for assuming emergency authority. However, COOP Planning Team members are not the only candidates for such authority.

**Administrative authority** refers to the ability to make decisions that have effects beyond the duration of the emergency. Unlike emergency authority, administrative authority does not have a built-in expiration date. Such decisions involve policy determinations and include hiring and dismissal of employees and allocation of fiscal and non-monetary resources. Statutory or constitutional law may limit the delegation of this kind of authority, and counsel may need to be consulted when determining this type of delegation of authority. Specific authorities being delegated should be documented separately. The same individual may play multiple roles depending on the situation.

***Use Worksheet B1 to complete this task.***

## **Establish Rules and Procedures for Delegation of Authority**

Vacancies in key positions can occur for a variety of reasons, and many times vacancies are the result of non-emergencies, such as illnesses, leave of absences and temporary assignments. Thus, the delegation of authority component to a COOP plan requires a list of conditions or events that will activate the delegation of authority for that key position. Activation of any delegation of authority should be tied to the level of threat or category of emergency. The plan should also detail how the designee will assume authority and how staff will be notified of the delegation.

***Use Worksheet B2 to complete this task.***

### **Identify Limitations on Authority to be Delegated**

After identification of the authority to be delegated and establishment of rules and procedures, the next step is to identify limitations on the delegation. These limitations are often restrictions on the duration, extent or scope of the authority. The type of authority to be delegated will have inherent limitations. For example, emergency authority generally only lasts as long as the emergency exists. An individual with emergency authority may only make decisions regarding a single division or geographic area, or the designee may only make decisions necessitated by the emergency.

An organization or department needs to provide training to officials on performance of their emergency duties. When delegating administrative authority, an organization also needs to examine laws and regulations governing the organization. Delegation of administrative authority is generally limited to upper management, but may be extended to middle management and non-management as necessary and allowed by law. Consult counsel for advice on delegation of administrative authority.

**DRAFT**





**Notes:**

# WORKSHEET B2: DELEGATION OF AUTHORITY - RULES, PROCEDURES AND LIMITATIONS

Complete this worksheet for each position identified in the second column of worksheet B1. Indicate the position on the line below and then list any rules for the delegation that may exist. Outline the procedures for the delegation including notification of relevant staff of the transfer of power, and limitations on the duration, extent and scope of the delegation.

Position Holding Authority: Example Lead Supervisor

Rules	Procedures	Limitations
Example: Supervisor is absent from facility and can not be reached by phone	Example: Contact senior program specialist for decision	Example: May approve telework for scheduled staff. May not make any scheduling changes.

**Notes:**

**Notes:**



**Notes:**

## ORDERS OF SUCCESSION

Orders of succession are provisions for the assumption of senior department/division leadership positions during an emergency when the incumbents are unable or unavailable to execute their duties. They allow for an orderly and predefined transition of leadership. Developing orders of succession for key positions is intertwined with determining delegation of authority in an emergency.

A comprehensive COOP plan will include an order of succession for each *principal (key) position*. Although orders of succession for these positions within the organization or department are necessary for a comprehensive COOP plan, orders of succession are not limited solely to management positions. All organizations have non-management personnel who, because of their function, are critical to accomplishing the department/division's goals.

Identify principal positions by the position title and not by the name of the person currently in the position, because different individuals may move through a single position while positions tend to stay the same. However, it is also useful to include the name and contact information underneath each principal position title.

When identifying successors, COOP planners should consider the organizational and geographic proximity of the potential successor to the key position. A potential successor who is part of the same department or division (organizational proximity) is a good choice, because they already have an understanding of the key position. However, make sure that there is at least one successor in the order of succession, who is not located in the same office or facility in case the vacancy is due to a catastrophic event in a particular geographic location.

While the focus should be upon the skills, experience, knowledge, and training necessary for holding a specific principal position, personality, such as a particular individual's ability to work under pressure, may also be considered. An order of succession also requires sufficient depth. In other words, there may very well need to be more than one or two named successors in most circumstances.

## **Essential Functions and Key Positions**

There are a couple of recommended methods that an organization should use to identify key positions.

One method for determining key positions is to question management and staff. Managers should have a strong grasp of their areas of responsibility. Ask them questions such as:

“What positions in your areas of responsibility are so important that if they suddenly became vacant, your part of the organization would face major problems in achieving your essential functions?”

Another approach would be to ask staff:

“In an emergency, would it be necessary for you to be present at the facility to perform your job?”

As with all delegations of authority questions, focus on position titles, as opposed to the names of persons in these positions.

A second method is to examine historical evidence. An organization that has experienced a crisis in the past that resulted in an unexpected departure by key position incumbents can use evidence of this past event as an indication of where key positions are located. Contact those supervisors who were present during the vacancy to find out which departures posed the greatest problem and why.

**DRAFT**



Once key positions have been identified, an organization needs to maintain information about these positions. This documentation should be easily accessible via secured physical and remote network access mechanisms. It should also be captured in training materials. For example:

Who occupies those key positions now?

What are their qualifications/backgrounds?

What are the work requirements for key positions?

Where are the key positions located in the organization?

***Use Worksheet C1 to complete this task.***

### **Determine Orders of Succession for each Principal Position**

Once principal positions and personnel have been identified by essential function, determine the order by which those functions and positions would be filled in the absence of the primary executive. Consider the qualifications necessary to perform in the key position and the qualifications of the successor positions, as well as organizational and geographical proximity. The same successors may be named for different key positions, but avoid designating the same successor as the first successor to several key positions. Adopting a wide geographic dispersion of successors, where appropriate, can be an effective control to ensure no disruption in the chain of command.

***Use Form C: Orders of Succession to complete this task.***

## WORKSHEET C1: IDENTIFY PRINCIPAL POSITIONS

With the information gathered in FORM A and FORM B identify principal (key) positions for each essential function in the department/division.

Essential Function	Principal Position(s)

**Notes:**

**DRAFT**

## FORM C: ORDERS OF SUCCESSION

List orders of succession to key positions critical to the organization's COOP. Based on previous experience, whenever possible, agencies may choose to investigate options that enable key successors to be geographically dispersed to ensure that succession to office can occur during any type of emergency. Remember orders of succession should run at least THREE DEEP.

Principle Position	1st Successor Name/Position	2nd Successor Name/Position	3rd Successor Name/Position

**Notes:**

**Notes:**

**DRAFT**

