

**CITY OF RICHMOND
CONTINUITY OF OPERATIONS (COOP)
DEPARTMENT PLAN TEMPLATE**



Version 2 – February 2010

*This template is derived from the Virginia Department of Emergency Management (VDEM) Local Government COOP Department Template –
Version 1.1 dated July 2008.*

TEMPLATE STRUCTURE AND INSTRUCTIONS

In each section of the template, there are *instructions*, sample verbiage and references to worksheets that may be helpful in gathering data necessary to develop your COOP plan. The worksheets are available on-line at www.vaemergency.com in the Library Section in the COOP Toolkit under Local Government Resources.

- Instructions are in ***bold and italics*** to distinguish them from other parts of the template. These instructions should not appear in the final plan.
- Sample verbiage or language is provided to assist in developing the plan. The sample language provided in the template should be expanded, deleted or modified as necessary to fit the needs of the department using the template. This includes tables, charts, checklists or other tools within the template.
- The worksheets were created to help identify information needed in the development of the COOP plan. They are primarily tools to assist in gathering raw data that should then be summarized for entry into the plan. It is not mandatory to include the worksheets in the plan. If you choose to use them, you can include the actual worksheet(s) in the plan, enter a summary of the information from the worksheets into the plan or include the worksheets in an appendix.

Please customize the template by utilizing appropriate logos or seals. Do not forget to remove (*insert name of department*) throughout the template, as that was put in to help tailor the template to your department.

APPROVALS

This Continuity of Operations (COOP) Plan was prepared by *(insert name of department)* to develop, implement and maintain a viable COOP capability. This COOP plan complies with applicable internal department policy, local and state regulations, and supports recommendations provided in Federal Continuity Directive 1 (FCD 1). This COOP plan has been distributed internally within *(insert name of department and jurisdiction)* and with external agencies that might be affected by its implementation.

Approved: _____ Date _____
(Title)

(Insert Name of Department)
Continuity of Operations Plan

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PRIVACY STATEMENT

Public disclosure of this document would have a reasonable likelihood of threatening public safety by exposing vulnerabilities. It contains sensitive and confidential information that is not subject to FOIA under Virginia Code §2.2-3705.2. Accordingly, the (*insert name of department*) is withholding this plan from full public disclosure. Refer any request for a copy of this document to the City of Richmond's attorney.

PURPOSE

This section explains why the department is developing a COOP plan and describes the disruptions it addresses. Use the language supplied below or insert language developed internally.

The purpose of the *(insert name of department)* COOP plan is to provide the framework for *(insert name of department)* within the City of Richmond to restore essential functions in the event of an emergency that affects operations. This document establishes the *(insert name of department)* COOP program procedures for addressing three types of disruptions:

- Loss of access to a facility (as in a fire);
- Loss of services due to a reduced workforce (as in pandemic influenza); and
- Loss of services due to equipment or systems failure (as in information technology (IT) systems failure).

It also details procedures to implement actions to continue essential functions within the recovery time objectives and to maintain essential functions for up to 30 days.

The *(insert name of department)* is committed to the safety and protection of its employees, operations and facilities. This plan provides the department and its personnel a framework that is designed to minimize potential impacts during an event.

APPLICABILITY AND SCOPE

This section describes the elements (divisions or offices within the department) covered by the COOP Plan, the times during which the plan is in effect and its distribution. It also describes the department's general mission and goals. Use the verbiage supplied below or insert language developed internally.

This document applies to all personnel in the department and all locations where essential functions are conducted. It also applies to the array of events and hazards that could threaten the department and its performance of essential functions.

The COOP plan does not apply to minor disruptions of service including temporary disruptions in IT systems or power outages and any other scenarios where essential functions can be readily restored in the primary facility.

This COOP plan was developed in concert with the City of Richmond's Basic Plan.

This COOP plan has been distributed to senior leadership within the *(insert name of department)*. Training has been provided to *(insert name of department)*'s personnel with identified responsibilities. The COOP plan has been shared with local emergency response agencies, City of Richmond Emergency Management Coordinator, COOP Manager and other interested parties, as appropriate.

COOP TEAM

This section identifies key positions within the department and their responsibilities in the event of an emergency requiring COOP plan implementation. Sample responsibilities are provided below. Tailor each responsibility to specific department needs. These responsibilities can be shared among staff members, or the department head or director could choose to assign or develop positions to be responsible for certain tasks.

In the event of an incident that impedes routine operations, certain employees might be asked to relocate, take on additional or alternative functional responsibilities or take on other assigned duties as circumstances dictate. This plan identifies specific pre-assigned positions and functions associated with activating and implementing the COOP plan. It also details functional activities that might be assigned to department personnel by the COOP Team to support COOP plan implementation. Suggested pre-defined personnel responsibilities include, but are not limited to:

Department Head or Director

- Implements the COOP plan;
- Provides policy direction, guidance and objectives during implementation of the COOP plan;
- Consults with and advises appropriate officials during implementation of the COOP plan; and
- Serves as the principal department representative to external parties and groups during implementation of the COOP plan.

Department COOP Coordinator

- Serves as the department COOP plan point of contact;
 - Coordinates implementation of the COOP plan and initiates appropriate notifications inside and outside the department;
 - Aids COOP Team efforts at the alternate location;
 - Initiates recovery of the department as part of reconstitution;
 - Identifies essential functions to be performed when any part of the department is relocated;
 - Identifies those functions that can be deferred or temporarily terminated;
 - Designates personnel to assist security officials in securing office equipment and files at department locations when implementing the COOP plan;
 - Prepares site support plans to support the implementation of the COOP plan;
 - Designates personnel responsible to assist the key personnel arriving at the alternate facility;
 - Supports periodic coordination visits by department offices; and
-

- Coordinates appropriate lodging, food and other arrangements with the alternate facility location, if appropriate, for personnel who are not commuting and need to remain overnight near the alternate facility location.

Department Reconstitution Manager

- Forms a reconstitution team;
- Develops space allocation and facility requirements to support essential functions;
- Coordinates with the City of Richmond's COOP Team and appropriate organizations to find suitable space if the primary facility is not available;
- Develops a time-phased plan, listing functions and projects in order of priority for resuming normal operations;
- Develops procedures, as necessary, for restructuring personnel; and
- Ensures the building is structurally safe and that it meets all (*insert name of department*) occupancy regulations.

Department Personnel

- Understanding their continuity roles and responsibilities within the department;
- Knowing and being committed to their duties in a continuity environment;
- Understanding and being willing to perform in continuity situations to ensure the department can continue its essential functions.
- Ensuring that family members are prepared for and taken care of in an emergency situation.
- [insert responsibility]
- [insert responsibility]

CONCEPT OF OPERATIONS

This section describes Concept of Operations and the department's approach to implementing its COOP plan.

To implement the COOP plan, the (*insert name of department*) COOP Team has developed a concept of operations, which describes the approach to implementing the COOP plan and how each COOP plan element is addressed.

Below is the Level of Emergency and Decision Matrix to guide the implementation of the COOP plan (*this should be modified to fit the department*). For additional information regarding Concept of Operations, including authority and references, policies and general organization, refer to the City of Richmond Basic Plan.

**Table 1
Level of Emergency and Decision Matrix**

Level of Emergency	Category	Impact on City of Richmond	Decisions
V	Daily Operations	Daily operations at normal staffing level.	None.
IV	Alert	An actual or anticipated event might have an adverse impact of up to 12 hours on any portion of the City of Richmond but does not require any specific response beyond what is normally available.	<i>(Insert name of department)</i> alerts appropriate personnel of situation and requests needed assistance. No COOP plan implementation required.
IV	Stand-by	An actual or anticipated event estimated to have minimal impact on operations for 12 to 72 hours that might require assistance beyond what is normally available.	<i>(Insert name of department)</i> alerts appropriate personnel. Members of the COOP Team are notified and placed on stand-by. May require limited COOP plan implementation depending on nature of event.
III	Partial Implementation	An actual event estimated to disrupt the operations of one or more essential functions or impact vital systems for more than three days.	<i>(Insert name of department)</i> alerts elected officials and senior leadership. COOP Team members alerted and instructed on the full or partial implementation of the COOP plan. Implementation of the COOP plan approved by the <i>(Insert name of department)</i> Director. Might require the mobilization of all resources. Might also require the activation of orders of succession. Might require the movement of some personnel to an alternate facility location for a period of more than three days but less than 14 days. Event requires command and control resources be applied to the issue.
I	Full Implementation	An actual event that significantly disrupts the operations of three or more essential functions or to the full office that impacts multiple vital systems for more than seven days.	<i>(Insert name of department)</i> alerts the OEM, elected officials and senior leadership. COOP Team members alerted and instructed on the full or partial implementation of the COOP Plan. Might require activation of orders of succession. Might require the movement of a significant number of personnel to an alternate facility location for a period of more than 14 days. Event requires command and control resources be applied to the issue and might require the complete mobilization of all resources.

COOPALERT AND NOTIFICATION

In this section the department can develop a checklist of procedures for notifying the COOP Team, personnel and others of the decision to implement the COOP plan. If notification procedures and processes are currently in place, reference where those procedures are located or insert them here.

If notification procedures to alert employees and others are not currently in place, consider the questions below as the notification section is completed:

- Who is responsible for contacting personnel?
- What protocols or procedures are utilized to contact personnel during day-to-day operations? During emergency situations?
- Does the department currently use notification software or systems to notify personnel? (e.g., reverse 911, automated call tree, text message or others)

The bullets below serve as examples. Tailor the procedures to meet the department's specific needs and processes.

- Department Director determines the need and implements the COOP plan;
- Department Director notifies the Department of Emergency Management; and
- COOP Coordinator notifies COOP Team and other appropriate Teams of implementation and provides initial directions (e.g., "Arrive at designated meeting location within two hours for initial assessment.")

Additional notification measures include:

- COOP Coordinator notifies City of Richmond Public Information Officer of implementation and coordinates any necessary press release or public messages. (e.g., "Community Recreation Center is temporarily closed until further notice.");
 - COOP Coordinator or designee notifies all current active vendors, contractors and suppliers of COOP plan implementation and provides direction on activities that need to be altered, suspended or enhanced as a result; and
 - As appropriate and necessary, the COOP Coordinator notifies the primary point of contact for surrounding jurisdictions of the COOP plan implementation and any potential consequences and planned alternate actions that may be required until normal operations can be restored.
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ESSENTIAL FUNCTIONS

This section includes a list of the department's prioritized essential functions and the resources required to support them. If used, reference and insert information from Worksheet #7: Summary of Resource Requirements Supporting Essential Functions. An example is listed below.

The *(insert name of department)* identified essential functions and supporting resources necessary to perform those functions. The department also prioritized its functions by determining recovery time objectives (RTOs). A listing of the department's essential functions, associated RTOs and supporting resources is shown below.

The department may choose to include this table as an Appendix. This would make maintaining the names of key personnel easier. If so change the last sentence of the above paragraph to read – A listing of the department's essential functions, associated RTOs and supporting resources is listed in Appendix A.

**Table 2
Essential Functions and Supporting Resources**

Essential Function	Essential Function Description	Key Personnel and Back-up	Vendors and External Contacts	Vital Records	Equipment	Systems	RTO
<i>Payroll</i>		<i>John Smith 1. Jane Doe 2. Joe Johnson</i>	<i>DOA</i>	<i>Payroll Records</i>	<i>PC, telephone</i>	<i>Internet Access CIPPS software</i>	<i>72 hours</i>

SCENARIO 1: LOSS OF ACCESS TO A FACILITY

The following section addresses the department procedures when the COOP plan is implemented due to the loss of access to a facility with or without advance notice.

Assumptions

This section lists assumptions, which are general statements identified to guide the department in the development of its COOP plan. The questions below help clarify what the department is able to do in the event of the loss of access to a facility:

- Has the department identified events or potential events that can adversely impact the department's ability to continue to support essential functions and services to public?
- If a COOP event is declared, have department personnel received proper training regarding plan implementation?
- Have memorandums of understanding (MOU) and mutual aid agreements been established for additional resources (e.g., personnel, equipment) to continue essential functions?

The bullets below serve as examples. Tailor assumptions to meet each specific department's situation and needs.

- The department is vulnerable to being rendered unusable by a full range of hazards (man-made, natural and technological disasters);
- Leadership and personnel recognize their responsibilities to public safety and exercise their authority to implement this COOP plan in a timely manner when confronted with disasters;
- If properly implemented, this COOP plan reduces and prevents disaster-related losses; and
- Loss of access to a facility might occur during or after operating hours.

COOP Plan Implementation

Implementation of the plan is based on three phases of operation: activation and relocation; alternate facility operations; and reconstitution.

Phase I – Activation and Relocation

In this section, the department can develop a checklist of procedures for activation and relocation. Some questions to consider when completing this section are:

- Does the department have back-up procedures in place for vital records, systems and databases?
- What protection methods are in place to reduce loss to vital equipment and files?
- Are personnel assigned to transport vital resources to the alternate facility location?

The bullets below serve as examples. Tailor the procedures to meet each department's specific needs and processes.

- Once notified that the COOP plan is implemented, the COOP Coordinator notifies key personnel for affected essential functions to be activated from the Rapid Recall List;
- As the Department Director's designee, the COOP Coordinator works with the COOP Team to facilitate preparatory actions for the COOP plan implementation;
- The COOP Coordinator initiates activities to support the actions being taken by the Department, including alert, notification and guidance to supportive personnel;
- Department leaders confirm the safe evacuation of personnel from the facilities, if applicable, and account for personnel throughout the duration of the COOP event. Supervisors and managers make contact with personnel under their span of control via use of personnel contact lists. The COOP Coordinator is responsible for keeping personnel contact lists current and maintaining the lists in hardcopy off-site; and
- Within 12 hours, activated personnel assemble at the alternate facility location.

Phase II – Alternate Facility Operations

In this section, the department can develop a checklist of procedures for personnel who have relocated to the alternate site. Some questions to consider when completing this section are:

- Do personnel understand the established chain of command?
- Have orders of succession been activated?
- Have delegations of authority been clearly identified?
- Does the department have personnel accountability (tracking personnel and their location) procedures in place?

The bullets below serve as examples. Tailor the procedures to meet each department's specific needs and processes.

- Activated personnel continue essential functions;
 - COOP Coordinator provides additional guidance, as required by the situation, to supportive personnel via the *(insert alert and notification procedure)* and through other available means;
 - The department conducts COOP Team meetings to receive updates, assess status and make decisions;
 - The COOP Team and the Reconstitution Manager initiate efforts to return to normal operations; and
 - The COOP Team remains engaged both internally to provide direction on the performance of essential functions (e.g., prioritization) and externally with other departments and vendors.
-

Phase III – Reconstitution

In this section, the department can develop a checklist of procedures for personnel to assist them in reconstitution due to a loss of access to a facility. Some questions to consider when completing this section are:

- Has the department developed general policies and procedures on ceasing alternate facility operations and returning to normal operations?
- Has the department identified procedures for transition of vital resources, records and equipment from the alternate to primary facility?
- Who is responsible for conducting a department “hot wash” and completing the After Action Report that provides specific solutions to correct any areas of concern during plan implementation?

The bullets below serve as examples. Tailor the procedures to meet each department’s specific needs and processes.

- Department personnel continue to provide essential services;
 - The Department Director informs personnel that the threat of or actual event no longer exists and provides instructions for resumption of normal operations. Announcements are disseminated via established notification procedures;
 - The department conducts a “hot wash” or review of its COOP plan operations and the effectiveness of its plans and procedures as soon as possible; and
 - Departments report the status of reconstitution to the City’s executive leadership and other key contacts (e.g., local jurisdictions, vendors and partners), as applicable.
-

SCENARIO 2: LOSS OF SERVICES DUE TO A REDUCTION IN WORKFORCE

The following section addresses the department procedures when the COOP plan is implemented because of a loss of services due to a reduction in workforce with or without advance notice.

Assumptions

This section lists assumptions which are general statements identified to guide the department in the development of its COOP plan. The questions below help clarify what the department is able to do in the event of a loss of services due to a reduction of workforce. The department also can reference and insert existing pandemic influenza or other health related assumptions if applicable.

- Has the department identified events or potential events that can adversely impact the department's ability to continue essential functions and services due to a reduction in workforce?
- Has the department established orders of succession at least three to five people deep?
- Have department personnel been properly cross-trained?
- What alternate work arrangements has the department made to accommodate relocation due to a reduction in workforce?

The bullets below serve as examples. Tailor the assumptions to meet each department's specific needs and processes.

- If properly implemented, this COOP plan reduces or prevents disaster-related losses;
- A reduction in workforce might occur during or after operating hours; and
- The plan includes reduction in workforce policies and procedures, related to cross training and alternate work arrangements.

COOP Plan Implementation

Implementation of the plan is based on three overarching phases of operation: activation and relocation; alternate facility operations; and reconstitution.

Phase I – Activation and Relocation

In this section, the department can develop a checklist of procedures for activation and relocation. Many of the same procedures that were identified in the previous section, addressing loss of access to a facility, might be referenced here. Some questions to consider when completing this section are:

- What steps can be taken for vital records, systems and databases to be accessible via telecommuting?
 - Has the department identified alternate facilities and alternate work arrangements (i.e. telecommuting)?
-

- Has the department considered reducing operating hours or locations due to workforce reduction?

The bullets below serve as examples. Tailor the procedures to meet each department's specific needs and processes.

- Once notified that the COOP plan is implemented, the COOP Coordinator notifies key personnel for affected essential functions to be activated from the Rapid Recall List;
- COOP Coordinator initiates activities to support the actions being taken by the department, including alert, notification and guidance to supportive personnel and the public (e.g., reduction in services or operational hours); and
- Supervisors and managers make contact with staff under their span of control via use of staff contact list. The COOP Coordinator is responsible for maintaining the lists in hardcopy off-site.

Phase II – Alternate Facility Operations

(NOTE: This phase may not be relevant in a reduced workforce scenario.) In this section, the department can develop a checklist of procedures for personnel who have relocated to the alternate facility. Many of the same procedures that were identified in the previous section, addressing loss of access to a facility, might be referenced here. Some questions to consider when completing this section are:

- Does the department have personnel accountability (tracking personnel and their location) procedures in place?
- Have procedures been developed to identify and use supportive personnel as resources to support continued operations?
- What policies and procedures have been considered regarding an extended reduction in workforce (i.e., Human Resource Policies)?
- Can the department support extended telecommuting operations if necessary?

The bullets below serve as examples. Tailor the procedures to meet each department's specific needs and processes.

- Activated personnel continue essential functions;
 - The COOP Coordinator provides additional guidance, as required by the situation, to supportive personnel via the *(insert alert and notification procedure)* and through other available means;
 - The department conducts COOP Team meetings to receive updates, assess status and make decisions;
 - The COOP Team and Reconstitution Manager initiate efforts to return to normal operations; and
 - The COOP Team remains engaged both internally to provide direction on the performance of essential functions (e.g., prioritization) and externally with other departments and vendors.
-

Phase III – Reconstitution

(NOTE: This phase may not be relevant to a reduced workforce scenario.) In this section, the department can develop a checklist of procedures for personnel to assist them in reconstitution due to a loss of services from a reduction in workforce. Many of the same procedures that were identified in the previous section addressing loss of access to a facility might be referenced here. Some questions to consider when completing this section are:

- Has the department developed general policies and procedures on ceasing alternate facility operations and returning to normal operations?
- Has the department developed procedures to resume full operational hours and staffing?
- Who is responsible for conducting a department “hot wash” and completing the After Action Report that provides specific solutions to correct any areas of concern during implementation?

The bullets below serve as examples. Tailor the procedures to meet each department’s specific needs and processes.

- Department personnel continue to provide essential functions;
 - Department Director informs personnel that the threat of or actual event no longer exists, and provides instructions for resumption of normal operational hours and staffing. Announcements are disseminated via established notification procedures;
 - The department conducts a “hot wash” or review of its COOP plan operations and the effectiveness of its plans and procedures as soon as possible; and
 - The department reports the status of reconstitution to the jurisdiction’s executive leadership and other key contacts (local jurisdictions, vendors and partners), as applicable.
-

SCENARIO 3: LOSS OF SERVICES DUE TO EQUIPMENT OR SYSTEM FAILURE

The following section addresses the department procedures when the COOP plan is implemented due to the loss of services due to equipment or system failure with or without advance notice.

Assumptions

This section lists assumptions, which are general statements identified to guide the department in the development of its COOP plan. The questions below help clarify what the department can do in the event of a loss of services due to equipment or system failure. If the department has an existing Information Technology Disaster Recovery (ITDR) plan, reference that plan for information that may be applicable to this section.

- Has the department identified events or potential events that can adversely impact the department's ability to continue essential functions and services when there is a loss of critical systems or equipment?
- Has the department identified interim processes to be used if equipment or systems are unavailable (e.g. ability to cut checks)?
- Have memoranda of understanding (MOUs) or mutual aid agreements been developed for utilization of alternate systems and equipment?

The bullets below serve as examples. Tailor the assumptions to meet each department's specific needs and processes.

- The department is vulnerable to a full range of hazards (man-made, natural and technological disasters);
- If properly implemented, this COOP plan reduces or prevents disaster-related losses;
- Loss of equipment or systems might occur during or outside of operating hours; and
- The plan includes interim processes for implementation, as necessary.

COOP Plan Implementation

Implementation of the plan is based on three phases of operation: activation and relocation; alternate facility operations; and reconstitution.

Phase I – Activation and Relocation

In this section, the department can develop a checklist of procedures for activation and relocation. Procedures that were identified in the previous sections might be referenced here. Some questions to consider when completing this section are:

- Does the department have back-up procedures in place for vital records, systems and databases?
 - Is there a similar system used by other departments that can fulfill the needs of the department on a short-term basis?
-

- Have MOUs or mutual aid agreements been established with neighboring jurisdictions with like systems?
- Can the department implement interim processes? If so, are the interim processes documented?

The bullets below serve as examples. Tailor the procedures to meet each department's specific needs and processes.

- Once notified that the COOP plan is implemented, the COOP Coordinator notifies key personnel for affected essential functions to be activated from the Rapid Recall List;
- The COOP Coordinator initiates activities to support the actions being taken by the Department, including alert, notification and guidance to supportive personnel and the public;
- Supervisors and managers make contact with personnel under their span of control via use of the personnel contact list. The COOP Coordinator is responsible for maintaining the lists in hardcopy off-site; and
- Within 12 hours, activated personnel assemble at the alternate facility location.

Phase II – Alternate Facility Operations

In this section, the department can develop a checklist of procedures for personnel who have relocated to the alternate site. Many of the same procedures that were identified in the previous sections might be referenced here. Some questions to consider when completing this section are:

- Do personnel understand the established chain of command?
- Does the department have personnel accountability (tracking personnel and their location) procedures in place?
- Have procedures been developed to identify and use non-designated personnel as resources to support essential functions?
- If necessary, how will the department support telecommuting operations?

The bullets below serve as examples. Tailor the procedures to meet each department's specific needs and processes.

- Activated personnel continue essential functions;
 - The COOP Coordinator provides additional guidance, as required by the situation, to supportive personnel via the *(insert alert and notification procedure)* and through other available mean;
 - The department conducts COOP Team meetings to receive updates, assess status and make decisions; and
 - The COOP Team or Reconstitution Manager initiates efforts to return to normal operations.
-

Phase III – Reconstitution

In this section, the department can develop a checklist of procedures for personnel to assist them in reconstitution due to a loss of services from an equipment or system failure. Many of the same procedures that were identified in the previous sections might be referenced here. Some questions to consider when completing this section are:

- Has the department developed general policies and procedures on ceasing alternate facility operations and returning to normal operations?
- Who is to be responsible for conducting a department “hot wash” and completing the After Action Report that provides specific solutions to correct any areas of concern during plan implementation?

The bullets below serve as examples. Tailor the procedures to meet each department’s specific needs and processes.

- Department personnel continue to provide essential services;
- Department Director informs personnel that the threat of or actual event no longer exists and provides instructions for resumption of normal operational hours. Announcement to be disseminated via established notification procedures;
- The department conducts a “hot wash” or review of its COOP plan operations and the effectiveness of its plans and procedures as soon as possible; and
- The department reports the status of reconstitution to the jurisdiction’s executive leadership and other key contacts (local jurisdictions, vendors and partners), as applicable.

Interim Processes

Interim processes are temporary workarounds that can restore some level of functionality until the resources normally supporting essential functions are recovered. Interim processes are frequently manual ones (e.g. manually developing purchase orders and payroll with the use of pen and paper) that are performed after an interruption of critical IT systems or networks. They may not be effective alternatives for a long period of time, but can provide extra time for recovery of supporting resources without suffering a complete outage. Other alternatives may be mutual aid agreements with other local governments using the same systems. Interim processes can be developed within current Standard Operating Procedures (SOPs) or Standard Operating Guidelines (SOGs).

The table below identifies the interim processes that would be implemented to restore functionality to the (*insert name of department*) essential functions if there was an interruption of critical systems.

Table 3: Interim Processes

Essential Function	Interim Processes	Vital Records	RTO

COOP ADMINISTRATION AND SUPPORT

This section identifies key positions within the department and their responsibilities in the administration and maintenance of the COOP plan. Tailor the procedures to meet each department's specific needs and processes. These responsibilities can be shared among personnel, or the Department Head or Director might choose to assign or develop positions to be responsible for certain tasks.

Department Head or Director

- The (*director/assistant director/supervisor/other*) is responsible for developing and maintaining this COOP plan; and
- This COOP plan is reviewed annually and updated in accordance with the schedule outlined in the Basic Plan.

Department COOP Coordinator

- Coordinates the COOP training, testing and exercise program;
- Maintains a current roster of department personnel designated as COOP Team members;
- Maintains current personnel emergency notification and relocation rosters;
- Prepares back-up copies or updates of vital records;
- Conducts periodic tests of the internal and external call list(s);
- Provides for the proper storage of back-up copies of vital records and other pre-positioned items;
- Maintains a current roster of designated site support staff;
- Requests an annual security risk assessment of the alternate facility location by security personnel to assist in ensuring COOP alternate facility location readiness;
- Conducts periodic coordination visits to the alternate facility location; and
- Participates in scheduled training, testing and exercises.

Department Personnel

- Review and understand the procedures for emergency evacuation of department locations; and
- Provide current contact information to supervisors.

Training and Exercises

Personnel who participate in Emergency Response activities must receive Incident Command System (ICS) and National Incident Management System (NIMS) training. The (*Director or*

designee) is responsible for working with the COOP Team to arrange necessary COOP training, as needed. Refer to the Basic Plan for additional information.

ACRONYMS AND DEFINITIONS

Refer to the Basic Plan.

APPENDICES

The appendices listed below are discretionary, if you inserted the information into your plan, you do not need to include an additional appendix.

Appendix A: Essential Functions and Supporting Resources

Appendix B: Personnel Contact List (Rapid Recall List)

Appendix C: Alternate Modes of Communication

Appendix D: Delegations of Authority

Appendix E: External Contact List

Appendix F: Alternate Facility Locations

APPENDIX B: PERSONNEL CONTACT LIST (RAPID RECALL LIST)

The Rapid Recall List contains the names and contact information for management, supervisory staff and key personnel who should be contacted if the department experiences a situation that causes, or may potentially cause, a major disruption to operations.

NOTE: This data might be currently housed electronically or in another location. There is no requirement to re-enter this data if it is maintained in another place. The location of the data should be noted in the plan. The information may have been collected using Worksheet #10.

Employee Cascade List	E-mail Address	Work #	Home #	Cellular or Pager #
Local Elected Official				
COOP Team				
▪ Employee A				
▪ Employee B				
▪ Employee C				
▪ Employee D				
▪ Employee E				
Key Personnel and Management				
▪ Employee I				
▪ Employee J				
▪ Employee K				
▪ Employee L				
▪ Employee M				

APPENDIX C: ALTERNATE MODES OF COMMUNICATION

This table is the same as the one used for Worksheet #9. If the information was collected using the Worksheet it may be inserted directly into the plan.

Communication System	Current Provider	Alternative Provider	Alternative Mode #1	Alternative Mode #2
Voice Lines				
Fax Lines				
Data Lines				
Cellular telephones				
Pagers				
E-mail				
Internet Access				
Blackberry and Other Personal Digital Assistants (PDAs)				
Radio Communication Systems				
Satellite Telephones				
Other				

APPENDIX F: ALTERNATE FACILITY LOCATIONS

Directions and maps to the alternate locations should be inserted here as well.

(Insert name of department) recognizes that normal operations may be disrupted and that there may be a need to perform essential functions at an alternate facility location. Alternate facility locations are listed below.

Alternate Facility Location	
Address	
Telephone Number	
Alternate Facility Location Official	
Directions	
Map	

Alternate Facility Location	
Address	
Telephone Number	
Alternate Facility Location Official	
Directions	
Map	

Annex A: PANDEMIC INFLUENZA

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INTRODUCTION

This section of the annex is optional. The introduction describes the purpose and focus of the pandemic influenza annex. Sample language is provided below.

The purpose of this annex is to build on the existing department Continuity of Operations (COOP) plan to ensure that the City Of Richmond is prepared to respond to and mitigate the effects of a loss of workforce and, more specifically, loss of workforce due to pandemic influenza. The focus of COOP planning for pandemic influenza is on effective and efficient human capital management to ensure the continued performance of essential functions and services. This annex might have applications beyond that of pandemic influenza for other highly communicable diseases of public health consequence, or any other event that results in workforce reductions for extended periods of time.

ASSUMPTIONS

This section provides general and department-specific assumptions for pandemic influenza planning. Planning assumptions are statements identified to guide each department in the development of its pandemic influenza annex. Below are examples from the Commonwealth of Virginia Emergency Operations Plan Influenza Pandemic (Non-Health) Annex that can be utilized in this annex.

General Assumptions

- *(Insert name of department)* has an up-to-date, comprehensive COOP plan that has been maintained and exercised on a regular basis.
 - Susceptibility to pandemic influenza will be universal, impacting the City of Richmond employees at the same rate as the general population. This means managers and supervisors might be among those who are absent from work due to illness or family care needs.
 - Pre-event planning is critical to ensure a prompt and effective response to a pandemic influenza, as its spread will be rapid, reoccurring (in multiple waves), and difficult to stop once it begins.
 - Workforce absenteeism might rise as high as 40 percent at the height of a given pandemic wave for periods of about two weeks.
 - At the state level, the Commonwealth's Emergency Operations Plan, which is in compliance with the National Response Framework and the National Incident Management System (NIMS), will provide the framework to coordinate response and recovery operations and associated support to address the consequences of a pandemic disease outbreak.
 - Additional resources that might be accessed through mutual aid agreements, contracts, and the emergency management system including state and federal resources will not be available for a widespread event.
 - Telecommunications connectivity might be limited.
-

- Individuals that recover from a pandemic virus, with or without treatment, will likely have a significant degree of immunity and can serve in key positions for response.
- To control the spread of disease, measures such as isolation, quarantine, and social distancing, might be implemented which will impact the City and its department's ability to conduct business activities.
- Schools, child care and adult day care centers might be closed.

Department-Specific Assumptions

This section should include department-specific information. What assumptions is the department making for the purposes of pandemic influenza planning? For example, will employees be expected to perform functions outside of their normal work duties? If used, insert information from Worksheet #1a.

ALTERNATE WORK ARRANGEMENTS

This section addresses alternate work arrangements that a department might implement to maximize the ability of its workforce to continue working during a pandemic. Each department will need to include department-specific policies and procedures for the alternate work arrangements that it elects to use. Departments can choose which strategies they plan to use and include that information in this section. If used, insert information from Worksheet #4a.

To support social distancing practices and mitigate the spread of disease, employees might perform duties at home or off-site. Telework, telecommuting, alternate work schedules, and consolidation of service locations are strategies for continuing essential services in the event of pandemic influenza.

Telecommuting

(Insert any department-specific policies and procedures regarding alternate work arrangements.)

Listed below are the functions that might be performed off-site and their associated equipment and remote access requirements.

Staff who have established telecommuting agreements and have been trained on working remotely with sensitive information and department policies and procedures regarding telecommuting are listed below.

(Insert list of personnel.)

Closure of Service Locations

If the department only has one service location, this section does not need to be completed. If used, insert information from Worksheet #3a.

In the event of significant loss of workforce, similar services that are provided at more than one location might be consolidated resulting in closure of service locations. When a service location

is closed, notify employees and customers of the closure and re-direct them to a location that is still open.

Listed below is the order in which *(insert name of department)* service locations will close. Please note *(insert location address)* will remain open.

Alternate Work Schedules

If used, insert information from Worksheet #5a.

Alternate work schedules for staff are listed below. This might vary depending on event circumstances.

VENDORS

This section includes information on alternate sources for essential services. Vendors that provide support services for essential functions need to be identified along with alternate sources of these services in the event the primary vendor cannot deliver during a pandemic. If used, insert information from Worksheet #6a.

(Insert name of department) has several essential services provided by vendors, other departments, and contractors. *(Insert name of department)* has taken steps to ensure that these providers of services have their own COOP plan. In addition, *(insert name of department)* has identified other potential sources for services in the event the primary vendor or contractor cannot provide essential services.

HUMAN CAPITAL MANAGEMENT

This section addresses staffing strategies for the efficient and effective management of human resources. Each department has the option to chose which strategies will work best for its working environment. Below is example language and information that might be used or help guide the development of specific language internally.

Cross-training

This section addresses cross-training gaps, which might not be needed if the department has a Workforce Plan or other document that addresses this. If used, insert information from Worksheet #2a.

In order to maximize human resources, *(insert name of department)* will ensure that its Workforce Plan addresses staff development and cross-training needs for significant reductions in workforce for extended periods of time. This department will ensure that cross-training needs are met by implementing the following: *(insert additional cross training activities, if applicable or necessary)*. In addition, this department has developed just-in-time training modules for the essential functions of *(insert list)*. These modules are accessed by *(insert how training modules will be accessed)*.

Infection Control and Workforce Protection

Each department will need to decide which infection control measures are appropriate for its department based on risk. Below are examples that are most likely to be applicable. If used, insert information from Worksheet #7a.

(Insert name of department) will implement the following strategies to support social distancing:

- Avoid face-to-face meetings if possible. Meet via phone, internet, or some combination of the two;
- Train employees *(using the learning management system, managed online awareness training or insert learning medium used within the department)* on cough etiquette and proper hand washing techniques;
- Implement alternate work schedules;
- Implement pre-established telecommuting agreements; and
- Provide sanitation supplies so employees can clean frequently touched surfaces such as phones and computers, and be able to appropriately wash hands.

Policies

This section is for each department to insert department-specific information.

IMPLEMENTATION

This section describes activation, notification and implementation procedures for the department, including who has the authority to implement this annex and how employees will be notified.

This annex might be implemented in part or in whole, by *(insert appropriate department authorities)*. Each department is to identify and evaluate circumstances and implement accordingly.

Employees will be notified by *(insert procedure or reference to plan with notification procedures and contact information for all employees)*.

Checklist

This section lists the steps a department might take for its response actions and procedures upon implementation. If used, insert information from Worksheet #9a.

(Insert name of department) will take the follow steps upon activation of this annex:
