|  |
| --- |
| **Insert Logo/Seal Here** |
| Continuity of Operations Plan/Continuity of Government (COOP/COG)  **Insert Jurisdiction Name** |
| **INSERT DATE OF ADOPTION**  **REVISIONS – BY DATE** |

Foreward

Local communities have an ethical responsibility to ensure the safety of their community. They also have a legal obligation to operate in a prudent and efficient manner, even during an impending threat or following a disaster.

This Continuity of Operations Plan /Continuity of Government (COOP/COG) provides guidance for **Insert Jurisdiction Name** to perform its essential functions.

**\*\* PROTECTION OF SENSITIVE SECURITY INFORMATION \*\***

*Iowa Code* Section 22.7(50) states that certain public records shall be kept confidential, including information concerning emergency preparedness developed for the protection of governmental employees, visits to the government body, or property under the jurisdiction of the government body, if disclosure could reasonably be expected to jeopardize such employees, visitors, person, or property. Many components of this COOP/COG Plan are considered confidential under the above definition provided by *Iowa Code* 22.7(50).

Promulgation Statement

**Insert Jurisdiction Name** has an obligation to the citizens of **Insert Jurisdiction Name** to perform its essential functions efficiently with minimal disruption. When emergencies or other situations arise that disrupt operations, **Insert Jurisdiction Name** must have a plan to continue essential functions under any circumstance. This document is that plan, known as the **Insert Jurisdiction Name** Continuity of Operations and Continuity of Government (COOP/COG) Plan. It has been developed in accordance with Federal Emergency Management Agency (FEMA) guidance found in *Continuity Guidance Circular 1 (CGC1), Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Public Sector Organizations),* dated February 25, 2011, and *Continuity Guidance Circular 2 (CGC 2), Continuity Guidance for Non-Federal Entities,* dated July 22, 2010.

This COOP/COG is hereby approved and adopted this **INSERT DATE OF ADOPTION.**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Insert Position/Title and Jurisdiction Name** **Date**

Attest:

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Insert Position/Title and Jurisdiction Name Date**

Supersession

No other COOP/COG plans or procedures have been adopted by **Insert Jurisdiction Name**. The **Insert Jurisdiction Name** Continuity of Operations and Continuity of Government (COOP/COG) Plan serves as the first COOP/COG Plan for **Insert Jurisdiction Name** and will be superseded when updated.

Contents

FOREWARD

PROMULGATION STATEMENT

SUPERSESSION

SECTION 1 – INTRODUCTION

SECTION 2 – RESPONSIBILITIES

SECTION 3 – PLAN OVERVIEW

SECTION 4 – PURPOSE AND OBJECTIVES

SECTION 5 – SCOPE

SECTION 6 – PLANNING ASSUMPTIONS

SECTION 7 – PLAN MAINTENANCE

SECTION 8 – ESSENTIAL FUNCTIONS

SECTION 9 – RISK MANAGEMENT

SECTION 10 – BUDGETING AND ACQUISITION OF RESOURCES

SECTION 11 – CONCEPT OF OPERATIONS

SECTION 12 – RESOURCE MANAGEMENT OF ACTIVATED PLAN

SECTION 13 – ACTIVATION DECISION TREE

SECTION 14 – ACTIVATION POLICIES AND PROCEDURES

SECTION 15 – ALTERNATE FACILITIES

SECTION 16 – RECONSTITUTION

SECTION 17 – ORDERS OF SUCCESSION

SECTION 18 – DELEGATIONS OF AUTHORITY

SECTION 19 – HUMAN CAPITAL

SECTION 20 – VITAL RECORDS

SECTION 21 – INTEROPERABLE COMMUNICATIONS

SECTION 22 – TEST, TRAINING, AND EXERCISE (TT&E) PROGRAM

SECTION 23 – PLAN ACTION STEPS

ANNEX – INDIVIDUAL COOP/COG PLANS

SECTION 1 - Introduction

*“Managing the aftermath of a disaster or crisis is extremely difficult and will have unpredictable results unless serious planning is done prior to the event and a simple but solid plan is activated immediately after the event.”*

-Response! Planning and Training for Emergency Recovery

The **Insert Jurisdiction Name** Continuity of Operations and Continuity of Government (COOP/COG) Plan provides instruction and guidance to **Insert Jurisdiction Name** employees to enable essential functions to continue when there is a catastrophic emergency severely impacting our ability to operate as usual.

**Insert Jurisdiction Name** Elected Officials and Department Heads have been instrumental in the Plan’s preparation, along with input and guidance from the COOP/COG Program Committee. All have developed actions and processes to ensure all public services legally required, mandated by act or regulation, and/or affecting safety and health will continue under the worst of environmental, economic, and technological conditions.

The **Insert Jurisdiction Name** Continuity of Operations and Continuity of Government (COOP/COG) Plan represents our commitment to serve the citizens of **Insert Jurisdiction Name** in the worst and best of times.

Loss of facilities, infrastructure, or available personnel may affect the ability of **Insert Jurisdiction Name** to provide services. One, several, or even all of **Insert Jurisdiction Name** facilities could be lost because of explosion, contamination, flooding, or other hazards. The facilities may remain intact but be rendered unavailable due to a loss of infrastructure such as power, phones, computer systems, water, or access and roads. Another possibility exists that the County may be unable to perform its mission due to large numbers of injured, or in the case of a pandemic, ill employees; in such a case, facilities and infrastructure may be unaffected but services will be severely impacted.

If a disaster strikes requiring activation of the COOP/COG Plan, **Insert Jurisdiction Name** will issue information as to how and from where County services will be delivered. In a worst-case scenario, “business as usual” may cease for **Insert Jurisdiction Name** and other organizations as well as for the entire region. Dramatic measures may be implemented, including shutting down certain functions that involve high levels of interaction with the public. County officials may have to make recommendations to the communities in Insert Jurisdiction Name to restrict travel, cancel public events such as concerts or sports, and close schools.

SECTION 2 - Responsibilities

COOP/COG efforts cannot be approached in isolation. Each Elected Official/Department Head recognizes that effective planning often depends on internal and external partners, which must be relied upon to help in the delivery of essential functions. These organizations are categorized as:

* Internal Vital Partners (**Insert Jurisdiction Name** Elected Officials/Departments)
* External Vital Partners (non-County entities)

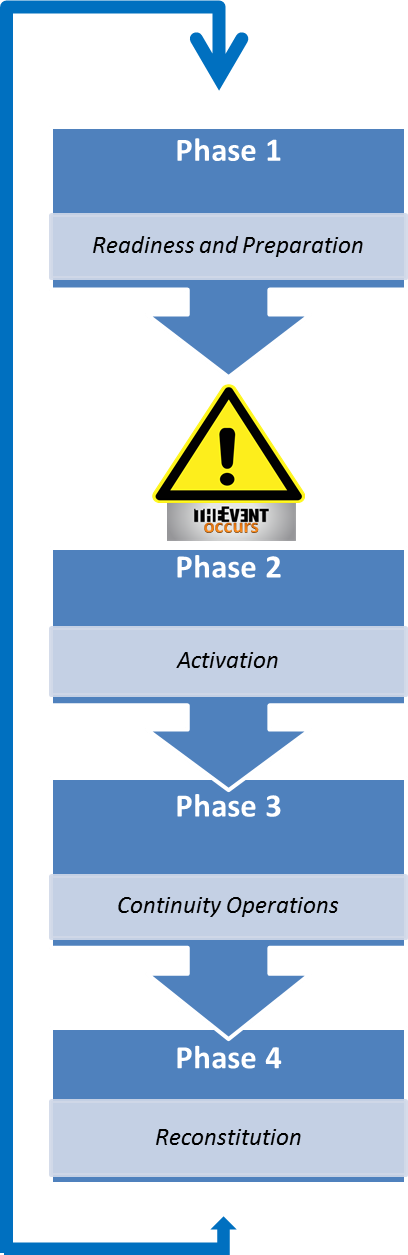
These vital partners may be counted on for a myriad of support during operations defined in this Plan. A few representative examples may include temporary:

* Staffing assistance;
* Use of equipment such as vehicles, computers, office equipment, and more;
* Use of systems such as internet, telecom, radios, and more; and
* Use of facilities.

Each Elected Official/Department Head is ultimately responsible for the continuation of essential services in an emergency and, consequently, for the related planning, including the following:

* Developing, approving, and maintaining agency COOP/COG plans for all components of the office or department;
* Coordinating COOP/COG planning efforts and initiatives with policies, plans, and activities;
* Training staff for their COOP/COG responsibilities;
* Participating in periodic COOP/COG exercises; and
* Maintaining a high level of readiness to implement the Plan both with and without warning in order to become operational no later than 12 hours after activation and operate utilizing COOP/COG for up to 30 days.

SECTION 3 - Plan Overview

Continuity planning and implementation may be considered a four-phase cyclical process, as shown on the illustration to the right. The four phases include:

1. Readiness and Preparedness,
2. Activation,
3. Continuity Operations, and
4. Reconstitution.

**Phase 1: Readiness and Preparedness**

The “first” phase, the readiness and preparedness phase, involves activities that occur before an event that disrupts operations. This phase includes all continuity readiness and preparedness activities including development, review, and revision of plans; training, tests and exercises (TT&E); risk management; and resource acquisition to support COOP/COG. This phase also involves evaluation of the actions taken during the other phase. In this regard, this phase also could be considered the last phase of the cycle. It is important to recognize that evaluation and subsequent improvement planning and necessary revisions to adopt documents and practices is vital to being properly prepared.

**Phase 2: Activation**

The activation phase includes the activation of procedures necessary to support the continued performance of essential functions.

**Phase 3: Continuity Operations**

The continuity operations phase begins when at least a part of the organization’s business operations resume following the disruption. During this, **Insert Jurisdiction Name** conducts such operations in an environment or setting that is not “business as usual”. Instead of located at the usual facility, operations may be taking place at another facility or via telework. At the beginning of this phase, it is likely that only the most critical business functions may be taking place. While a few staff members may begin to do their regular jobs again, the COOP/COG Management Team (CCMT) members may still be completing their tasks to get everything established so everyone can get back to work. In other words, the activation phase and this phase of continuity operations may overlap some.

**NOTE: The CCMT is explained in detail in Section 12.**

Because resumption of full operations with full staff and capabilities may not be possible immediately, it is important to know what is needed to support the most critical functions so that those can be re-established first.

During the “Continuity Operations” phase, the operating environment may be changing over time until a primary facility can be established. Initially, operations may be devolved to another office and staff. Then, as an alternate facility is fitted out for the original staff, work can be shifted back to the regular employees to work out of the alternate facility. Some functions, as deemed appropriate, may be successfully performed by remote telework and later moved into an alternate facility when staff can be accommodated.

Besides changes in where the work is performed, there could be changes in who does the work and who supervisors it. Depending on the situation, people in key positions may not be available. For this reason, it is important to have orders of succession and delegations of authority documents.

**Phase 4: Reconstitution**

Continuity operations should be temporary. With time, the former primary facility will be repaired or new location found that could serve as a new, permanent home. Reconstitution is the process of moving into a permanent primary facility where all operations are re-established. When the primary facility is ready for use and occupancy, management may decide to move operations from the continuity site to the permanent site in phases or all at once. Whatever the decision, notifications to staff, vendors, clients, and the public must occur and resumption of full and “normal” operations can recommence.

SECTION 4 - Purpose and Objectives

#### Purpose

The purpose of this Plan is to allow **Insert Jurisdiction Name** to continue to provide essential functions services in the event of a total or partial loss of its facilities, infrastructure, and/or available personnel. Every effort will be made to continue to provide prioritized essential functions (those where even a temporary interruption would negatively affect the County’s ability to provide for the safety of the public and fulfill the requirements of laws, statutes, or ordinances), while it is accepted that non-prioritized functions may be temporarily curtailed for the operations period of this Plan.

This Plan enables **Insert Jurisdiction Name** government, at all levels, to identify, locate, access, organize, and utilize necessary resources to preserve the provision of vital services that support the continuation of essential functions.

#### Overarching Objectives

While the overarching objective of this planning effort is to ensure the continuous performance of essential functions during an emergency, this Plan will also **Insert Jurisdiction Name** to:

* Address all-hazards emergency preparedness functions and activities to ensure business continuity.
* Reduce loss of life and minimize damages and loss to critical processes and information.
* Provide for a succession of leadership to perform necessary duties when normal leadership is suspended.
* Reduce or prevent disruptions to operations.
* Protect facilities, infrastructure, equipment, vital records, and other necessary assets as defined in the individual department/office level plans.
* Achieve a timely and orderly recovery from an emergency and resume full service to customers.

SECTION 5 - Scope

The **Insert Jurisdiction Name**, Iowa Continuity of Operations and Continuity of Government (COOP/COG) Plan describes the concepts and functions of COOP/COG operations and how they apply to **Insert Jurisdiction Name** as an entity, as well as individual Elected Office/Department level plans contained herein as Annexes **Insert Annex Range - i.e. Annexes A-H**. The Plan applies to departments and agencies reporting directly to the **Insert Jurisdiction Name** Board of Supervisors as well as those elected offices and agencies residing in all **Insert Jurisdiction Name** facilities. The annexes contain more detailed instructions for each individual Elected Office/Department within **Insert Jurisdiction Name**, including:

* outlining prioritized essential functions that need to be maintained; and
* Identifying prioritized resources, staff, equipment, facilities, and supplies required to sustain these prioritized essential functions.

Major elements addressed by this Plan include:

1. Risk Management
2. Essential Functions
3. Delegation of Authority and Orders of Succession
4. Alternate Facilities
5. Communications
6. Vital Records, Databases, Supplies, Systems, and Equipment
7. Human Capital Management
8. Testing, Training, and Exercise Programs
9. Devolution of Contract and Direction
10. Reconstitution Operations

section 6 - Planning Assumptions

**NOTE – these are base assumptions, and depending on your jurisdiction’s procedures and protocols, may need to be amended.**

For purposes of planning the most effective and efficient response to a COOP/COG situation, the following assumptions are made:

* A major emergency or disaster could happen at any time.
* Activation of this Plan may be required at any time with little advance notice or warning.
* Some or all information, communications, or other systems supporting County functions may be degraded or unavailable.
* Most or all departments will be required to move to another location to continue operations.
* Operational capability will be achieved within twelve hours of activation and may need to be sustained for up to thirty days; however, current resources will not be immediately available at the new location.
* Any task not deemed “essential” may be deferred until additional personnel and resources become available.
* Transportation may be disrupted. Roads, bridges and other transportation infrastructure damage may limit normal transportation, including the ability of employees to report to work.
* This Plan and the implementation must be flexible to adapt to the needs of the particular situation.
* Many of the catastrophes that require activation of this Plan will cause extensive damage to more than just County facilities. Employees and their families will be affected personally.
* Key personnel will be required to implement this Plan but may also be required to staff the EOC if activated, further reducing staff available.
* Ongoing training and review of the COOP/COG will occur annually to ensure current and future situations are addressed.

section 7 - Plan Maintenance

The **Insert Jurisdiction Name**, Iowa Continuity of Operations and Continuity of Government (COOP/COG) Plan maintenance process includes a schedule for annually reviewing and evaluating the programmatic outcomes called for in the Plan, and for producing a Plan revision every five years.

#### Formal Review Process

Elected Office/Department level plans contained herein as Annexes. **Insert Annex Range - i.e. Annexes A-H** will be reviewed on an annual basis by the appropriate Elected Official and/or the Department Head. Individual Plans will be updated as necessary based on the annual review and lessons learned through the Testing, Training, and Exercise (TT&E) process. A formal report detailing the review findings will be forwarded to the Board of Supervisors annually on or prior to **Insert Applicable Date.**

The Board of Supervisors will identify staff to review the overall plan annually and conduct a formal review every five years to determine the effectiveness of programs and to reflect changes that may affect essential function priorities. **Insert Jurisdiction Name** will review the overarching objectives of the Plan to determine their relevance to changing situations in the County as well as changes in Federal policy, and to ensure that they address current and expected conditions.

section 8 - Essential Functions

Essential Functions are those functions enabling an organization to:

* maintain the safety of the General Public,
* provide vital services,
* meet services required by law, and
* sustain the industrial and economic base.

**Insert Jurisdiction Name** recognizes that the entire spectrum of essential functions might not be performed or needed in the immediate aftermath of an emergency. Indeed, in a crisis, resources may be scarce. Allocating resources based on sound planning helps to ensure that the delivery of essential functions and services will remain uninterrupted across a wide range of potential emergencies and while providing a mechanism for the resumption of all functions as resources become available.

**Insert Jurisdiction Name** identified essential functions by defining the activities an office/department conducts to accomplish its mission and serve its stakeholders.

#### Approach to Prioritization of essential functions

To support its continuity of operations program, **Insert Jurisdiction Name** established a prioritization approach to categorize essential functions. Essential Functions are prioritized according to:

1. The time criticality of each essential function.
2. The recovery sequence of essential functions and their vital processes.

Essential Functions are prioritized using the following criteria:

* Does it provide safety and security to the residents of and visitors to **Insert Jurisdiction Name**
* Does it provide continuity of essential services mandated by law?
* Does it provide protection of County-owned property and/or structures?
* Is it required by law?
* Is it necessary to sustain the industrial/economic base during an emergency?
* Does it minimize the risk of causing civil unrest?
* Is it necessary to sustain the social fabric of our community?

**NOTE – these criteria - depending on your jurisdiction’s procedures and protocols - may need to be amended.**

Below is prioritization scheme for essential functions.

|  |  |
| --- | --- |
| **Function Criticality** | **Must Reach Operations Status Within:** |
| Priority 1 | Cannot be interrupted/0-12 hours |
| Priority 2 | Up to 1 day |
| Priority 3 | Up to 2 days |
| Priority 4 | Up to 3 days |
| Priority 5 | Up to 7 days |
| Priority 6 | Up to 30 days |

Some offices/departments may have no Priority 1 level essential functions while another’s essential functions may all be Priority 1. Essential functions, prioritization, office/department, personnel, and implementation are identified in the tables beginning on **Insert Page Number**.

#### TIME-PHASED IMPLEMENTATION

A time-phased implementation of this Plan maximizes the preservation of life and property by making the best use of available personnel, equipment, facilities, and other resources. A successful time-phased implementation depends upon the type and magnitude of the event or threat, the amount of warning received, whether personnel are on duty or off duty and available, and the extent of damage to County facilities and personnel. In general, the sequence of events for activation of this Plan will occur within three time-phases – Phase I - Activation, Phase II - Alternate Operations, and Phase III - Reconstitution and Termination.

**Phase I – Activation**

During this phase, alert and notification of all employees and other organizations identified as “External Vital Partners” (e.g., vendors or public/private entities that may provide resource support) will take place. It is during this phase that the transition to alternate operations at the alternate facility begins. However, if events turn out to be less severe than initially anticipated, the time- phased activation may terminate during this phase and a return to normal operations will take place.

**Phase II – Alternate Operations**

During this phase, the transition to the alternate facility is complete and the performance of mission - essential functions should be underway. Also during this phase, plans should begin for transitioning back to normal operations at the primary facility or other designated facility.

**Phase III – Reconstitution and Termination.**

During this phase, all personnel, including those that are not involved in the activation, will be informed that the threat or actual emergency no longer exists and instructions will be provided for resumption of normal operations.

#### table of Essential Functions

| **Elected Office or**  **Department** | | **Phase I - Activation** | | **Phase II - Alternate Operations and Phase III Reconstitution and Termination** | | | | | **Title of  responsible position** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Priority*** | | **1** | | **2** | **3** | **4** | **5** | **6** |
|  | **Essential Function** | **Cannot be interrupted** | **0 - 12 hours** | **Up to 1 day** | **Up to 2 days** | **Up to 3 days** | **Up to 7 days** | **Up to 30 days** |  |
|  |  |  |  |  |  |  |  |  |  |

[**Information is inserted based on spreadsheet (please click here).**](https://www.iowacounties.org/wp-content/uploads/2018/09/Essential-Functions-Worksheet.xlsx)

SECTION 9 - Risk Assessment

Risk management is the process of identifying and assessing the impact of risk of hazards or threats on operations, and establishing strategies to control, or at least minimize the effect of disasters so that the essential functions can continue to operate.

**NOTE: If your jurisdiction has an up-to-date Hazard Mitigation Plan, you may incorporate that plan by reference and simply list out the hazards as shown below. If your jurisdiction does not have an up-to-date Hazard Mitigation Plan, you must complete a Risk Assessment (**[**click here for resources**](https://www.fema.gov/media-library-data/20130726-1910-25045-9160/fema_local_mitigation_handbook.pdf)**).**

The Risk Assessment determined therein is hereby adopted by reference in this COOP/COG Plan.

The **Insert Number of Hazards** natural and human-caused hazards identified in the ***Insert Title of Hazard Mitigation Plan*** that have the potential to impact **Insert Jurisdiction Name** are shown in the table below. In addition, listed below are the ratings of “High”, “Medium”, or “Low”, as assigned to the hazard relative to typical warning times and duration of hazard events.

|  |  |  |
| --- | --- | --- |
| **Natural Hazards** | | |
|  |  |  |
| **Human-caused and Technological Hazards** | | |
|  |  |  |

SECTION 10 - Budgeting and Acquisition of Resources

The right people and resources are necessary to guarantee the continuous performance of essential functions. To support and maintain an effective COOP/COG program, the appropriate resources, personnel, communications, facilities, equipment, infrastructure, and transportation must be acquired and set in place. When developing budgets or making acquisition decisions related to the implementation of the COOP/COG, **Insert Jurisdiction Name** will consider costs/benefits related to the following:

* The provision of time and resources for staff to review and maintain plans and procedures.
* Identifying and assessing hazards and threats, including risk analyses, and develop risk mitigation actions.
* Locating and acquiring alternative facilities (i.e., lease, purchase, sharing of premises).
* Establishing Memoranda of Agreement or Memoranda of Understanding in using and/or sharing alternative facilities with other organizations.
* Locating and acquiring equipment, services, and technology to support communications necessary for the Plan’s implementation.
* Developing and conducting training, testing, and exercise activities.
* The provision of security systems and services, and emergency transportation of personnel.

Decisions about acceptable and unacceptable levels of risk drive the distribution of funds. The following must be considered when making budget allocations:

* Integrating budgets with necessary implementation of the Plan and linking budgets directly to the Plan’s objectives and metrics.
* Acquiring identified resources on an emergency basis.

During continuity operations, **Insert Jurisdiction Name** may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed.

section 11 - Concept of Operations

Recognizing that **Insert Jurisdiction Name** may likely have to cancel or curtail certain functions in order to sustain ones that are more critical provides the basis of this Plan. It provides guidance to pre-identify which functions must be performed and which can be curtailed. It further provides instruction on how to ensure that vital resources are provided to those functions that carry the highest priority.

Conditions likely to lead to the activation of the Plan include:

* loss of critical infrastructure,
* loss of a significant portion of the workforce, or
* loss of viable facilities.

Continuity operation’s success hinges on the effective pre-planned realignment of resources away from the County’s *lower priority* functions and assigning them to *higher priority* essential functions in order to overcome the types of challenges outlined above.

If it is determined that the County can provide prioritized essential functions while remaining under “normal” operations, then there may be no need to activate this Plan. If it is determined that the County’s capacity to meet the threat has been significantly diminished based on a degradation of essential resources, then activating the Plan should be considered and resources realigned in accordance with the Plan.

section 12 - Resource Management of Activated Plan

**NOTE: While the Iowa Code provides guidance to follow when an elected official’s seat becomes vacant, there is not a clear procedure established in the Code how decisions may effectively be reached when a quorum of Board of Supervisors is not achievable due to vacancies. The COOP/COG Management Team described herein in an approach attempting to address the gap.**

When **Insert Jurisdiction Name** activates this Plan at any level, a COOP/COG Management Team (CCMT) defined below forms and meets daily to discuss operations status and prioritize the deployment of resources supporting the Plan’s activation. Resource Management relies on an organization structure defined from high to low level:

* Board of Supervisors
* Chair – Board of Supervisors
* COOP/COG Management Team (CCMT)
* CCMT Coordinator
* Statutory Deputies and Department Heads
* Staff

The CCMT assembles under the direction of the Board of Supervisors and consists of all the following:

* County Attorney
* County Auditor
* County Recorder
* County Sheriff
* County Treasurer

**• List out additional key department heads appropriate to the jurisdiction for serving in this capacity.**

Elected Officials have statutory services that must be provided; it is the purpose of the CCMT to ensure careful coordination and collaborative resource management so that these services may be provided and that **Insert Jurisdiction Name** recovers successfully. Close coordination between the CCMT and **Insert Jurisdiction Name** Emergency Operations Center (EOC) command staff will be required; however, this relationship in no way should be viewed as a replacement to EOC Command Staff.

**NOTE: The language above may need to be modified depending on the nature of the relationship and capacity to serve the EOC by your jurisdiction’s elected officials and department heads.**

The purpose of the CCMT is to receive status reports from the individual offices and departments. The time and place of the daily meeting is established by Chair of the Board of Supervisors, and remains constant throughout the Plan activation. It may be necessary for CCMT members to participate through cell phones and other communication devices as appropriate or needed for effective communication.

The **Insert the Title of the Position** serves as the CCMT Coordinator, who will be primarily responsible to receive and coordinate all status reports from the individual departments and supply this information to the CCMT and Board of Supervisors. The duties of the CCMT Coordinator are as follows:

1. “Roll Up” all status reports.
2. Evaluate reports for shortfalls/deficits.
3. Prepare proposed Action Plan to “fill gaps”.
4. Provide Action Plan to finance and legal to evaluate and to make recommendations.
5. Present Plans to CCMT approval.
6. Facilitate Action Plan execution upon approval.
7. While the Plan is not activated, guide the Annual Plan Reviews.

section 13 - Activation Decision Tree

Activation and relocation are scenario-driven processes that allow flexible and scalable responses to the full spectrum of emergencies and other events that could disrupt operations with or without warning during duty and non-duty hours. This Plan is not required for all emergencies and disruptive situations, since other actions may be deemed appropriate response(s) depending on the emergency and (impending) impacts.

The decision to activate this Plan and corresponding actions tailored for the situation should be based upon projected or actual impact and severity, which may occur with or without warning. Plan activation will not be required for incidents for minor disruptions or short-term evacuations. The degree to which the plan is activated and hence implemented depends on the type, magnitude, and circumstances of the incident(s).

To aid in activation, this Plan defines specific procedures and protocols for essential staff that identify:

**• List appropriate procedures and protocols for your jurisdiction here**

**Some examples include: How to relocate to alternate facility(ies). How to alert staff. What to bring, including staff, equipment, records, etc. How to establish telecommunications and IT network capabilities. Who to report to upon arrival. How to orientate staff to the facility. How to perform essential roles (if different from normal day-to-day assignments).**

In addition, the Plan defines Procedures and Protocols for non-essential staff that identifies:

**• List appropriate procedures and protocols for your jurisdiction here**

**Some examples include: How to report to their status and location. To whom to report. How often and where to check in. How to gain information on the organization’s situation including how to stay informed. How they will be notified to return to work.**

section 14 - Activation Policies and Procedures

#### alert, notification, and implementation process

Following a decision to activate this Plan, the implementation process must begin with employee alert and notification procedures. **Insert Jurisdiction Name** will use the following methods of notification:

* Calling Tree – Board of Supervisors > Elected Officials/Department Heads > Staff
* **Insert other methods of notification specific for the jurisdiction**

Individuals who are not present at the primary facility or another location at the time of emergency notification will receive instructions from the Elected Official/Department Head. In most scenarios, staff members will be directed to proceed to their homes or to other County facilities to wait for further instructions.

**Insert Jurisdiction Name** employees are the County’s most valuable asset. The procedures in this Plan provide measures for protecting and accounting for personnel – where they are and how they are in relation to the emergency driving the Plan’s activation. In addition to procedures for accounting for presence of personnel, procedures are established to identify missing personnel and how to gain assistance to locate them and ensure their safety.

**Insert Jurisdiction Name** personnel assigned to essential functions are directed where to report and receive assignments. In the event of a Countywide activation of this Plan, a reception center (if more than one building is affected, multiple centers) will be identified based on the situation, to receive personnel and deploy them to their assigned work locations. The reception center provides the following:

* Hours of operation;
* Anticipated duration of the relocation, if known;
* Safety and security measures;
* Location of equipment, resources, amenities and related items; and
* Key personnel contact numbers/details.

The individual Elected Offices/Departments are responsible to determine when they are ready to establish operations at the alternate facilities in consultation with the CCMT and ultimate approval by the Chair of the Board of Supervisors, if available. If the Chair is unavailable, follow the succession order defined herein. To determine if they are in a position to begin operations, the deployed staff:

* Assess the availability and functionality of necessary equipment, resources, and systems;
* Verify the levels of available personnel at the site; and
* Identify what is lacking in order to begin, and weigh how close they are to commencing essential operations.

Annexes **Insert Annex Range - i.e. Annexes A-H** contain information from the individual Elected Office/Departments. The purpose of this information is to facilitate a preliminary inventory of necessary items, resources, and personnel to discern swiftly the Office/Department level of readiness to engage in continuity operations.

Essential roles identified as vacant due to absent personnel are filled according to the Office/Department’s succession protocol located in the individual Elected Office/Department Plan. Delegations of pre-identified authority are followed. When insufficient staff is available to perform identified priority essential functions, additional personnel may requested through the CCMT, through the status reporting process identified above. Responsibility for performing tasks and activities is aligned by the CCMT according to experience, level of cross training, and essentiality of the function.

#### lines of succession

**Institute Lines of Succession (if necessary)**

The conditions under which succession will take place, the method of notification, and any temporal, geographical, or organizational limitations of authority are identified in this section. The key positions and Lines of Succession are located in Annexes **Insert Annex Range - i.e. Annexes A-H.**

#### staff readiness and preparedness

**Insert Jurisdiction Name** personnel must prepare for a continuity event and have been instructed to plan what to do in an emergency and to develop a family support plan to increase personal and family preparedness. To develop a family support plan, personnel should use the template available at [www.ready.gov](http://www.ready.gov). This site also includes a “Get Ready Now” pamphlet, which explains the importance of planning and provides a template that family members can use to develop a specific family plans.

**Office/Department Drive-Away Kits**

Individual County Offices/Departments are responsible for putting together the “Drive-Away Kits” for potential use if relocation is necessary. Suggested contents of these kits are located on the following page. Each **Insert Jurisdiction Name** office/department is responsible for carrying the kits to the Alternate Relocation Facility (ARF) or pre-storing the kits at the ARF. In addition to the suggested items, offices/departments should incorporate specific items for essential functions. In order to maintain currency of drive-away kits, kits are updated annually.

|  |  |
| --- | --- |
| **Drive Away Kit\*** | |
| **Identification and charge cards (for each essential employee)**   * Government identification card * Driver’s license * Government travel card * Personal charge card * Government charge card   **Office Resources**   * Pre-printed forms specific to the Office/Department * Plans and other documents that your Office/Department will need   Hardcopy contact information specific to your Office/Department | **Medical needs (as applicable)**   * Insurance information * List of allergies/blood type * Hearing aids and extra batteries * Glasses and contact lenses * Extra pair of eyeglasses/contact lenses * Prescription drugs (30-day supply) * Over-the-counter medications, dietary supplements   **Miscellaneous**   * Directions to continuity facility * Maps of surrounding area * Business and leisure clothing * Business and personal contact numbers * Emergency phone numbers and addresses (relatives, medical doctor, pharmacist) * Toiletries |

**\*NOTE: As part of initial data gathering, each office/department will identify what should be in this kit. This table is simply a general listing of what may be included and meant as suggestions. Insert/complete any jurisdictional-specific changes or modifications.**

**Insert Jurisdiction Name** will pre-position supply boxes at the ARF identified in this Plan under the ownership of **Insert Jurisdiction Name**, as noted in the table beginning on the following page. Also noted in the table are those items that will be “hand-carried” to the ARF – these are items that are subject to expiration or may need to be immediately acquired.

| **Building** | **Insert Building Name** | **Insert Building Name** | **Insert Building Name** | **Insert Building Name** | **Insert Building Name** |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Supply/Consumable** | *Building Total* | *Building Total* | *Building Total* | *Building Total* | *Building Total* | **Total Quantities** | **Pre-Positioned** | **Hand -Carried** |
| **List supplies** |  |  |  |  |  |  |  |  |

**[Information is inserted based on spreadsheet (please click here).](https://www.iowacounties.org/wp-content/uploads/2018/09/Supply-List-Worksheet.xlsx)**

In addition to office supplies, equipment will be necessary to locate at an ARF to provide essential functions identified herein. The table below demonstrates the equipment by Office/Department.

| **Equipment** | General Item (to be shared by multiple departments) | Animal Control | Assessor | Auditor | Board of Supervisors | Community Services | Conservation | County Attorney | Engineer & Secondary Roads | Environmental Health | Facilities Management | GIS | Human Resources | Information Technology | Planning & Development | Recorder & Vital Records | Veterans Affairs | Sherriff’s Office | Quantity | **Pre-Positioned** | **Hand -Carried** | **Needs To Be Transported** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Information is inserted based on information listed on planning worksheets.**

section 15 - Alternate Facilities

This section addresses alternate facilities that used to provide essential services in the event the primary site(s) is severely damaged or inoperable. These alternate locations and resources provide for re-establishing and continuing governmental operations.

#### Facility Options

Depending on the circumstances, facilities can be located as follows:

* Existing Space - remote or offsite training facilities;
* Virtual Offices - working from home or telecommuting facilities, or mobile offices;
* Co-locations of a site-space in another facility, space procured and maintained for another organization, space in a site jointly acquired with another organization, or space in a combination of facilities.

Alternate facilities must be able to either connect to the County’s network or be able to connect to the County’s network via a virtual private network (VPN) service through a local internet provider. **This capability needs to be identified through the County’s Information Technology Department, and if it is not an alternative, delete the language.**

The following criteria were used to select alternate facilities:

* **Insert criteria here**

***NOTE: Each jurisdiction should identified criteria appropriate for potential situations and number of offices and departments. The following list intended as suggestions only.***

* Located in an area that will minimize disruptions;
* An all-hazards assessment has been conducted to assess the hazard posed to the facility.
* Sites are located sufficiently distanced from the office or department’s primary facility and from areas prone to threats or disruptions;
* Sites are selected that have access to essential support services and resources, such as water, sanitary systems, refuse collection, HVAC, power, transportation access, public parking, street visibility, ADA-compliant, public meeting space;
* Adequate square footage for office relocation;
* Available for up to 30 days; however, long-term lease or other types of arrangements may be available;
* May be operated on a 24/7 basis, if necessary;
* Suitable levels of physical and information security; and
* Technologies that control the site access and conduct site surveillance.

The amount of space required to support the operations has been predetermined, and sites selected to accommodate such needs. The successful implementation of this Plan’s component will require that **Insert Jurisdiction Name** enter into formalized agreements for buildings not owned by **Insert Jurisdiction Name** that specify:

* How much notice must be given to the owner/occupant before relocation.
* The cost of facility use including utilities and communications.
* How much space and what services will be provided.
* The sole use of the allocated space for the set period of occupancy.

Relocation of **Insert Jurisdiction Name**  from primary to alternate relocation facility(ies) (ARF) involves the movement of some resources, equipment, and vital records that are necessary to sustain or restore essential functions. Therefore, it is important to involve the CCMT for the coordination of alternate facility support procedures. Equipment and other resources should be identified and pre-positioned as much as practicable. Maintenance of the equipment at the alternate facility(ies) is a key component at any relocation facility. Resources and vital records that are not already pre-positioned at the alternate relocation facilities are relatively few and compact, thus making it possible for staff to use their own manpower and respective vehicles to transport them from the primary to the ARF. In instances where assistance is needed, either in terms of more manpower or vehicle space/capability, **Insert Jurisdiction Name** will work with its local governmental partners to obtain it.

Pre-defined alternate facilities identified in this section will be evaluated annually on existing capabilities and the capacity to perform mission essential functions. Assessment areas include: construction specifications, space, personal convenience and comfort considerations (including toilet and shower facilities), public access and meeting space needs, site transportation and parking, interoperable communications, physical security and access controls, life support (water, electrical power, heating/ventilation/air conditioning), and logistical support. The facility must be able to sustain operations for 30 days and accommodate the specific number of staff (as identified in this section). The facility must also afford sufficient security for operations and staff.

#### Alternate relocation Facility information

**Insert Jurisdiction Name** has designated Alternate Relocation Facilities (ARF) as part of this Plan and has prepared personnel for the possibility of unannounced relocation to these sites to continue essential functions.

| **Office/**  **Department** | **Primary**  **Relocation Facility** | **Facility Address** | **Secondary**  **Relocation Facility** | **Facility Address** | **Alternate**  **Relocation Facility** | **Facility Address** |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |

**[Information is inserted based on spreadsheet (please click here).](https://www.iowacounties.org/wp-content/uploads/2018/09/Alternate-Facilities-Worksheet.xlsx)**

Facility details for the alternate sites are highlighted on the following pages. **NOTE: Insert information specific for your ARFs on the following pages with one page dedicated per ARF. You may choose to include pictures of the facilities and maps highlighting locations such as employee entrance and parking and other pertinent information.**

Alternate Relocation Facility Locations

| **Facility Name** | **Ownership** | **Capacity** | **Agreement Type and Date** | **Security and Access Requirements** | **Equipment / Systems Already on-site** |
| --- | --- | --- | --- | --- | --- |
| **List Name Here** |  |  |  |  |  |
| **Offices and Departments: List all Offices and Departments relocated here.** | | | | |
| **Comments: List any information that may assist in relocation.** | | | | |
| **Contact Information**: | | | | |
| **Notes:** | | | | |

**[Information is inserted based on spreadsheet (please click here).](https://www.iowacounties.org/wp-content/uploads/2018/09/Alternate-Facilities-Worksheet.xlsx)**

section 16 - Reconstitution

Organizations must identify and outline a plan to return to normal operations once organization heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated.

Within 24 hours of activation for relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover affected facility after receiving approval from the appropriate County, local, State, and Federal law enforcement and emergency services:

* The **Insert the Title of the Position** will serve as the Reconstitution Manager for all phases of the reconstitution process.
* The CCMT will work with the Reconstitution Manager to update office personnel on developments regarding reconstitution within 48 hours of activation of this Plan.

Reconstitution procedures will commence when the Reconstitution Manager or his/her authorized representative ascertains that the emergency has ended and is unlikely to reoccur, in consultation with the Emergency Management Coordinator and CCMT Coordinator, and recommends such action to the Board of Supervisors. The reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of this Plan. Once the Board of Supervisors has made this determination in coordination with other County, State and Federal authorities, one or a combination of the following options may be implemented, depending on the situation:

* Continue to operate from alternate facility;
* Reconstitute the facility and begin an orderly return to the facility; and
* Begin to establish reconstituted operations in some other facility.

Prior to relocating to another facility, the CCMT Coordinator in collaboration with the Reconstitution Manager will conduct appropriate security, safety, and health assessments to determine building suitability and verify that all systems, communications, and other required capabilities are available and operational so that **Insert Jurisdiction Name** is fully capable of accomplishing all essential functions and operations at the new or restored facility.

The CCMT Coordinator will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using established calling trees.

Prior to relocation to pre-identified alternate relocation facility(ies), each office/department will ascertain current effective staff levels and develop procedures, as necessary, for restructuring staff.

Upon verification that the required capabilities are available and operational and that each office/department is fully capable of accomplishing all essential functions and operations at the new or stored facility, the Reconstitution Manager will begin supervising a return of personnel, equipment, and documents to the normal operating facility or a move to another temporary or permanent primary operating facility.

**Insert Jurisdiction Name** will continue to operate at its alternate relocation facility(ies) until ordered to cease operations by the Board of Supervisors. At that time, essential functions will transfer to the primary operating facility.

Each affected office/department will identify any records affected by the incident and prepare a written report to be submitted to the CCMT Coordinator within 72 hours of plan activation. In addition, affected offices/departments will effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, using the guidance found in the “Vital Records” section.

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining staff from affected offices/departments at the alternate relocation facility or devolution site will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The Reconstitution Manager shall oversee the orderly transition from the alternate relocation facility of all functions, personnel, equipment, and records to a new or restored primary operating facility.

section 17 - Orders of Succession

Every employee is important to the achievement of **Insert Jurisdiction Name** mission. However, like critical processes and services, each essential function has associated key personnel and positions that are necessary to the continuity of our operations and represent strategically vital points in management and authority. If these positions are left unattended, **Insert Jurisdiction Name** will not be able to meet customer needs or fulfill essential functions.

To remain effective in continuity operations, each key position in the Plan identifies an order of succession. Emergency orders of succession are provisions for the assumption of key positions during an emergency in the event that any of those officials are unavailable to perform their legal or appointed duties and is critical in an emergency so that an orderly and predefined transition of leadership occurs. The following considerations helped define candidate’s qualifications to perform the key position as well as the disposition and aptitude for handling the role:

* Education and cross-training;
* The geographic location and proximity of successor positions to facilities.

Additionally, each Elected Office/Department has identified suitable substitute personnel who are competent and willing to assume a key position should one become vacant. Lines of succession are established in accordance with applicable law. All lines of succession are at least three positions deep where possible and listed in applicable Office/Department Annex.

#### Insert Jurisdiction Name Order of Succession

The Board of Supervisors will continue to lead **Insert Jurisdiction Name**. The order of succession will remain the same through the duration of the incident. If there is a vacancy(ies) on the Board of Supervisors, the mechanism set forth in Iowa Code Section 69.14A guides the County Auditor, Recorder, and Treasurer to fill the vacancy(ies).

**County authority will be succeeded in the following order:**

* Chair – Board of Supervisors
* Vice Chair – Board of Supervisors
* Supervisor – Board of Supervisors
  + In conjunction with CCMT
* CCMT assumes legal authority until such time that vacancies are filled.

section 18 - Delegations of Authority

Elected Official/Department Head specific Delegations of Authority are listed in respective Annexes. Authority to make decisions and activate this Plan is delegated to alternate staff members when primary persons are unable to fulfill their duties. In **Insert Jurisdiction Name**, the Delegation of Authority includes the following key components:

* Pre-planned legal authority for officials to make key policy decisions, and document outcomes;
* Pre-described delegations of authority by position or titles and not by the names of the individuals;
* Pre-defined limits of authority and accountability for specific roles;
* Pre-outlined authority of an official to exercise direction and re-delegate functions and activities;
* Pre-defined circumstances under which delegation of authority takes effect and is terminated;
* Records of delegation of authority are included in the vital records and are accessible at the alternate sites; and
* Officials selected to assume authority in continuity situations are properly informed and trained.

Delegations of authority may be, for emergency or administrative decision-making. This is different from an order of succession in that a delegation of authority delegates authority for specific actions or tasks, whereas the order of succession transfers all powers and authorities of the primary incumbent to a successor.

Personnel who have been delegated authority are advised of:

* The conditions or events that will trigger delegation of authority;
* The limitations of their authority;
* How they will assume authority;
* How long they will retain authority; and
* How staff will be notified of the delegation.

section 19 - Human Capital

Developing, activating, and facilitating a continuity program rests on the management of human capital. In this planning context, human capital is the sum of energy, knowledge, and skills invested in efforts to prepare for, respond to, and recover from emergencies.

During all hazard events, it is crucial to have available the most appropriate, qualified, and reliable people in positions that best match their aptitude and skills. While it may be essential that a function be provided, it is even more essential that the appropriate person be assigned that function during continuity operations. Failure to do so may jeopardize the very essence of continuity of operations. The following key strategies are employed when assigning essential personnel:

* Department Heads/Supervisors – are pre-selected based on the ability to set priorities, make difficult decisions, and remain focused under extreme pressure.
* Staff –are provided with regular training to develop the skills and knowledge necessary to perform their designated roles and responsibilities.

Irrespective of their personnel status in this Plan, all **Insert Jurisdiction Name** staff are provided with clear instructions on their requirements in a continuity situation. To succeed in such, **Insert Jurisdiction Name** has:

* Identified employees who demonstrate potential for handling continuity activities, assigned them to such roles and responsibilities, and provided them the necessary training to perform the tasks;
* Provided direction to continuity personnel on office or departmental emergency preparedness measures, such as personal readiness kits or family emergency planning;
* Established processes for communicating the office or department’s operating status – if it is open or closed for business;
* Established processes for contacting and accounting for all personnel in the event of an emergency; and
* Established processes for communicating and disseminating information to all personnel on human-specific issues, such as pay, leave, staffing benefits, and other human resource issues.

To promote readiness, **Insert Jurisdiction Name** has considered how an emergency would affect individuals and their families including the following:

* Accountability procedures to know each employee’s status;
* Means to keep employees informed;
* How to develop a family emergency plan; and
* Provide information to employees regarding family support services at or near the alternate facility.

#### Human Resources CONTINUITY Policies

Human Resource planning and preparedness for continuity operations encompasses the following areas:

* Dismissal and Closure Procedures
* Annual Leave, Sick Leave, and Family Medical Leave
* Payroll and Personnel Tracking
* Compensation and Pay Flexibilities
* Telework/Telecommuting Policy
* Staffing Flexibilities
* Fitness for Duty Policy
* Grievance Policy
* Employee Assistance Program (EAP)
* Benefit Issues

The **Insert Jurisdiction Name** Employee Handbook contains policies to address each of these topics as well as other topics that may be germane to continuity operations.

**NOTE: Customize this section with the names of the policies adopted by your jurisdiction, as well as applicable documents providing workplace guidance to your employees.**

section 20 - Vital Records

**Insert Jurisdiction Name** has determined which records are vital in supporting essential functions and have established methods of ensuring these records are available and accessible during a continuity situation. Vital records refer to information systems and applications, electronic and hardcopy documents, references, and records necessary to sustain essential functions during a continuity situation.

Vital records fall under three basic descriptions:

1. **Emergency Operations** – COOP/COG plans and procedures, emergency response plans, disaster recovery plans, medical emergency contacts, and related items.
2. **COOP/COG Operations -** Contact details for emergency staff, contact details for regular staff, contact details of key COOP/COG personnel, list of delegations of authority and orders of succession, and direction in enacting the roles, maps, and directions for alternate sites, access codes, and instructions for accessing alternate sites, and implementing interoperable communications
3. **Legal and Financial Data** – payroll data, accounting data, insurance policies, tax assessments and records, property titles/deeds, etc.

In identifying vital records, Elected Officials/Departments have first identified those records that. if damaged or destroyed, would disrupt essential functions and the flow of information, causing considerable inconvenience and jeopardizing operations. Such identification is found in the Annexes and in the table beginning on the following page.

As soon as possible after activation of this Plan, but in all cases within 24 hours of activation, personnel at the alternate facility must have access to the appropriate media for accessing vital records, including:

• A local area network

• Electronic versions of vital records

• Supporting information systems and data

• Internal and external e-mail and e-mail archives

• Hard copies of vital records

| **Office Department** | **Document Name** | **Document Type** | **Document Format** | **Document Location** | **Who updates document?** (Position title) | **Do you have backup copies?** | **Where are backup copies located?** | **Format of Backup Copies** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |

[**Information is inserted based on spreadsheet (please click here).**](https://www.iowacounties.org/wp-content/uploads/2018/09/Vital-Records-Critical-Documents-Worksheet.xlsx)

SECTION 21 - Interoperable Communications

Facilitating and implementing continuity operations relies on the availability and serviceability of communications and information technology (IT). The communications system enables internal personnel to stay connected, and for personnel to connect with external partners to collaborate on delivering services to sustain essential functions.

**NOTE: Insert description of established communications systems and protocols in this section, including ownership, type of phones, radios and networks and how interoperability in communications is addressed and accomplished.**

The design of this Plan sustains continuity of communications and addresses the following:

* Identify requirements to continue communications internally and externally;
* Identify and ensure availability of interoperable communication equipment and resources in sufficient quantity and media at alternate sites;
* Possess communications equipment and resources to support communication among Elected Officials and Department Heads while in transit to alternate sites;
* Possess communications equipment and resources to support communications in social distancing operations – such as in the event of a pandemic;
* Ensure office and department level procedures/plans exist that explain how staff communicate internally and externally;
* Establish methods of communication with clients/customers; people who depend on the office/department’s services, both essential and non-essential, need information on how the services will be affected;
* Ensure office/department level procedures/plans to access vital records, data, and other systems; and
* Ensure relevant personnel are trained in the use of communications systems and equipment.

All necessary and required communications and IT capabilities must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation.

section 22 - Test, Training and Exercise (TT&E) Program

An effective Test, Training and Exercise (TT&E) program is necessary to assist organizations to prepare and validate **Insert Jurisdiction Name** capabilities to perform essential functions during any COOP/COG situation. This requires identification, training, and preparedness of personnel capable of performing their COOP/COG responsibilities and implementing procedures to support the continuation of office/department’s essential functions.

Training provides the skills and familiarizes leadership and staff with the procedures and tasks they should perform in executing this Plan. Tests and exercises serve to assess and validate all the components of plans, policies, protocols procedures, systems, and facilities used to respond to and recover from a continuity situation, and identify issues for subsequent improvement.

**Insert Jurisdiction Name** will annually plan, conduct, and document tests, training, and exercises to prepare for all-hazards situations, identify deficiencies, and demonstrate the viability of this Plan. Deficiencies, actions to correct them, and a timeline for remedy will be documented and addressed within six (6) months.

#### Testing AND METRICS

This Plan will be tested against a specific set of considerations and metrics listed in the table below. This table will be used to annually:

1. Conduct annual assessments or tests to determine required revisions to the Plan; and
2. Develop training and exercise objectives.

**NOTE: It is important for each jurisdiction to review the metrics in the table to determine applicability.**

| **COOP Requirements** | | **Key Questions** | **Metrics** | **Y or N** |
| --- | --- | --- | --- | --- |
| 1 | The continuation of the performance of essential functions during any emergency should be for a period up to 30 days, or until normal operations can be resumed, and the capability to be fully operational at alternate sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after the Plan activation; | * Is your organization able to perform your current essential functions during any emergency and for up to 30 days or resumption of normal operations? * Is your organization able to be fully operational at an alternate site within 12 hours of the Plan activation? | * Measure ability to perform essential functions through test, training, and exercise, identifying gaps and solutions. * Measure capability to be fully operational at an alternate site within 12 hours through test, training, and exercise, identifying gaps and solutions. |  |
| 2 | Succession orders and pre-planned devolution of authorities that ensure the emergency delegation of authority should be planned and documented in advance in accordance with applicable law; | * Does your organization have accessible and complete orders of succession familiar to successors? * Does your organization have accessible and complete devolution of authorities known by those to whom they devolve? | * Document and train on succession orders. * Document and train on devolution of authorities. |  |
| 3 | Vital resources, facilities, and records should be safeguarded, and official access to them must be provided; | * Are your vital resources safeguarded? * Are your facilities safeguarded? * Are your records safeguarded? * Will your staff have official access to your vital resources, facilities, and records in an emergency? | * Document measures to safeguard vital resources, facilities and records. * Document measures taken to ensure official access to vital resources, facilities, and records. |  |
| 4 | Provision should be made for the acquisition of the resources necessary for continuity operations on an emergency basis; | * Have you identified emergency resources? * Do you have agreements/contracts to acquire emergency resources? | * Identify your emergency continuity resource requirements. * Identify what agreements/contracts you have made to meet these requirements. * Identify what additional agreements/contracts are needed * Identify funding requirements |  |
| 5 | Provision should be made for the availability and redundancy of critical communications capabilities at alternate sites in order to support connectivity between and among key government leadership, internal elements, other executive departments and agencies, critical partners, and the public; | * Do you have critical communications capability at your alternate site(s)? * Do you have redundant communications capability at your alternate site(s)? | * Identify your current communications capability at your alternate site. * Identify what communications capability is necessary. * Identify the plan to improve communications at your alternate site in six months, one year, and two years. |  |
| 6 | Provision should be made for reconstitution capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations; and | * What is your plan for ensuring your division’s reconstitution capability? | * Identify your division’s reconstitution capability plan. |  |
| 7 | Provision should be made for the identification, training, and preparedness of personnel capable of relocating to continuity facilities to support the continuation of the performance of essential functions. | * Have you identified, trained, and prepared personnel to relocate to alternate sites to continue essential functions? | * Verify that staff are identified, trained, and prepared to relocate to alternate sites. |  |

#### Training

Training familiarizes personnel with their procedures, tasks, roles, and responsibilities in executing an organization’s essential functions in a continuity environment. **Insert Jurisdiction Name** training program should incorporate, at a minimum:

1. Awareness briefings (or other means of orientation) for the entire workforce.
2. Training for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain operations.
3. Training for the Elected Officials or Department Head on essential functions, including training on individual position responsibilities.
4. Training for all personnel who assume the authority and responsibility for office or departmental management if existing management is incapacitated or becomes otherwise unavailable during a continuity situation.
5. Training for all pre-delegated authorities for making policy determinations and other decisions, at the field, satellite, and other levels, as appropriate.
6. Personnel briefings on plans that involve using, or relocating to alternate facilities, existing facilities, or virtual offices.
7. Training on the capabilities of communications and IT systems to be used during a continuity situation.
8. Training regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including sensitive data) needed to support essential functions during a continuity situation.
9. Training on the devolution option for COOP/COG, if applicable, to address how each office or department identifies and conducts its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency.
10. Training for all reconstitution plans and procedures to resume normal operations from the original or replacement primary operating facility.

section 23 - Plan Action Steps

**As you develop and annually review your plan, especially through the first adoption phase, items will be identified that are “to do’s” to help solidify the plan and approaches. these are identified here. they must be specific, included necessary resources and identified timelines for review and completion.**

Annex

Individual COOP/COG Plans

ANNEX insert letter number

**Name of Elected Office/Department:** [**Insert Name and Complete Information Based on Data Gathering Worksheet Available Here**](https://www.iowacounties.org/wp-content/uploads/2018/09/Blank-Planning-Worksheet-for-Offices-and-Departments.doc)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Mission Statement** | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |
| **Divisions / Branches / Bureaus within the department** | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |
|  | | | |  | | | | | | | | | | | | | | |
| **Critical Functions** | | | | | | | | | | | | | | | | | | |
|  | | | |  | | | | | | | | | | | | | | |
| **Critical Software Resources** | | | | | | | | | | | | | | | | | | |
| Critical Function | | | | | | | | Software | | | | | Description/Use | | | | | |
|  | | | | | | | |  | | | | |  | | | | | |
| **Vital Records, Files and Databases** | | | | | | | | | | | | | | | |  | | |
| Critical Function | | Name | | | | | | | | | Type | | | | Information Function | Where are these currently stored? | | |
|  | |  | | | | | | | | |  | | | |  |  | | |
| **Key Vendors, Outside Partners, Contractors** | | | | | | | | | | | | | | | | | | |
| Critical Function | | | | | Name | | | | Contact Information | | | | | | | | | Role and Duties |
|  | | | | |  | | | |  | | | | | | | | |  |
| **Succession - In ‘*Prioritized Order’* to Transfer Authority in a Crisis Situation** | | | | | | | | | | | | | | | | | | |
| Division | | | | | | Title | | | | | | | | | | | | |
|  | | | | | |  | | | | | | | | | | | | |
| **Successor(s)** | | | | | | | | | | | | | | | | | | |
| Priority | Title | | | | | | When | | | How | | | | Authorities | | | Special Requirements | |
|  |  | | | | | |  | | |  | | | |  | | |  | |
| **Notification-Methods to Notify Staff for Call-Back:** | | | | | | | | | | | | | | | | | | |
| Method # | | | Method | | | | | | | | | Details | | | | | | |
|  | | |  | | | | | | | | |  | | | | | | |