



**City of Santa Rosa, California
Continuity of Operations Plan**

April 2017



PRIVACY STATEMENT

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

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

Activation of this plan is authorized by the City Manager, a Department Director, or a designee, while implementation is coordinated by the department leadership and COOP leads or alternates. For more information about continuity planning or this COOP, contact the Santa Rosa Fire Department Office of Emergency Preparedness.

City of Santa Rosa, California

CONTINUITY OF OPERATIONS PLAN

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PROMULGATION STATEMENT

Continuity of operations ensures the continuation of government and the performance of essential functions during and after a disaster or other disruption to normal government operations. As the county seat for the County of Sonoma, Santa Rosa plays an integral role in determining the needs of the public and in providing essential services on a day-to-day basis. Through continuity planning, the City of Santa Rosa will further demonstrate its steadfast commitment to the continuation of these services during an emergency or disaster, and the safety and protection of its citizens, employees, and visitors.

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

The City of Santa Rosa's governing body has reviewed and approved this plan, verifying its content to ensure it contains required information and guidance for the City of Santa Rosa to sustain its essential services and to minimize potential impacts during and following an emergency.

Signature of City Authority

Name, Official Title

Approach to Continuity of Operations Planning

The City of Santa Rosa Continuity of Operations Plan (COOP) encompasses the operations and services performed by the City. It is tailored to the operations of individual departments and divisions and the mission essential functions they perform. This COOP consists of an overarching plan and annexes for each of the 12 City departments and departmental divisions. Each department completed mission essential function workbooks designed to extract critical information about the departments' and divisions' day-to-day functions. Completed workbooks included the following information:

- Key personnel required to maintain the function
- Critical resources required to support the function
- Vulnerabilities that may affect the function
- Interim processes that may be conducted to temporarily support the function

The mission essential function workbooks were reviewed during a consultation process. In addition, processes for all continuity capabilities, e.g., succession of leadership, delegation of authority, notification of staff, continuity facilities and communications, essential records management, human resources, test, training, and exercises, devolution of control and direction, and reconstitution and recovery were also identified during the consultation process.

The draft COOP overarching plan and departmental annexes were developed and reviewed by the COOP Planning Team.

Section 1

INTRODUCTION

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

1.1 Plan Purpose

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

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

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

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

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

1.2 Applicability and Scope

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

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

- City Administration: City Manager's Office, Mayor & Council and City Clerk
- City Attorney's Office
- Finance Department & Parking Division
- Fire Department
- Housing & Community Services
- Human Resources Department
- Information Technology Department
- Planning & Economic Development
- Police Department
- Recreation & Parks Department
- Transportation and Public Works Department
- Water Department

1.2.1 COOP Organization

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

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

1.3 Situations and Assumptions

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

Situation

- The City of Santa Rosa is a city in and the county seat of Sonoma County. Santa Rosa is the largest city in California's North Coast, Wine Country, and the North Bay; the fifth most populous city in the San Francisco Bay Area.
- The City of Santa Rosa occupies 41.499 square miles of which 41.294 square miles are land and 0.205 square miles are water.
- The California Department of Finance E-1 Population Estimates for Cities, Counties, and the State estimated the population of City of Santa Rosa in January 2016 was 175,667.
- City of Santa Rosa is vulnerable to a number of hazards, including natural, technological, and human-caused. Please refer to Section 3 of this plan for the complete list of potential hazards for the City.
- The City of Santa Rosa is located in California Mutual Aid Region II and FEMA Region 9.
- The major traffic arteries in City of Santa Rosa include State Highways 101 and 12.

Assumptions

- The City will continue to be exposed to the hazards and risks identified in the COOP as well as other hazards or risks that may develop in the future.

- Leadership personnel will continue to recognize their responsibilities to public and employee safety and exercise their authority to implement the COOP in a timely manner when confronted with real or potential disasters.
- Procedures have been developed to support the resumption of time-sensitive operations and functions in the event of their disruption at the facilities identified in the COOP.
- The City is committed to supporting service resumption and recovery efforts at continuity facilities, if required.
- In the event of a disaster, departments and divisions may rely on each other for assistance.
- In the event of a disaster, resources and personnel may be extremely limited. Resumption of essential services may need to be prioritized and time-phased.
- The City has mutual aid agreements with surrounding jurisdictions that can be activated in the event the City needs assistance in providing critical services in emergencies.
- The COOP may be activated as a result of an emergency response and implementation of the Emergency Operations Plan. Activation of the COOP will occur at the level necessary to resolve the situation.
- Some members in COOP positions serve in other roles during disasters, such as the Emergency Operations Center (EOC) or department operations center during an activation. During multiple activations, COOP activities will be coordinated through the EOC.

1.4 Roles and Responsibilities

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

1.4.1 Crisis Assessment Team

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

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

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

1.4.2 COOP Administrator Responsibilities

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

1.4.3 COOP Coordinator Responsibilities

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

1.4.4 COOP Planning Team Responsibilities

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

1.4.5 Reconstitution Manager

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

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

1.4.6 Responsibilities of Department Leadership

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

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

Section 2

CONCEPT OF OPERATIONS

A continuity of operations plan must be maintained at a high level of preparedness and must be ready to be implemented without significant warning. The City of Santa Rosa COOP is designed to be fully implemented no later than 12 hours after activation and provides guidance to sustain operations for up to 30 days.

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

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

2.1 Objectives

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

- Readiness and preparedness
- Activation and relocation
- Continuity operations
- Reconstitution and recovery

2.1.1 Readiness and Preparedness

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

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

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

2.1.2 COOP Activation

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

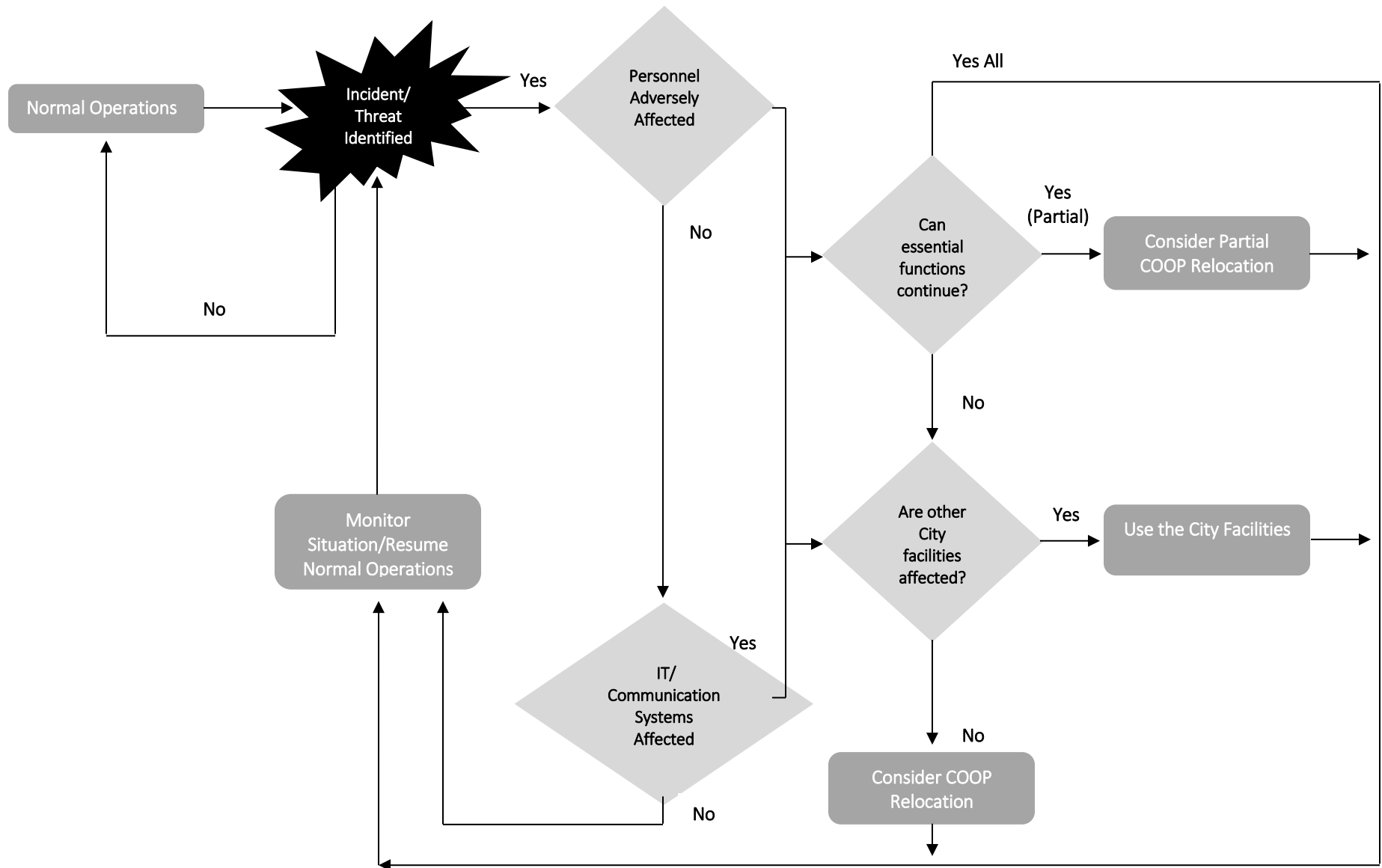
Factors Affecting COOP Activation		
	During Duty Hours	During Non-Duty Hours
Event with Warning	<ul style="list-style-type: none"> Essential staff is alerted via on-duty notification procedure prior to COOP activation. Partial activation of the COOP with notification and deployment of key personnel. Dissemination of messages to City staff and the public. IT issues guidance to City staff for protection of data and equipment. Essential staff will assemble essential records, software, hardware, and other documents and equipment to perform essential functions to prepare for potential COOP activation. Essential staff will back up essential automated databases, and prepare designated essential equipment for possible COOP activation. 	<ul style="list-style-type: none"> Essential staff is alerted via off-duty notification procedure prior to COOP activation. Recall of key personnel to report to work for partial/full activation of COOP. City staff are provided a briefing on the situation once they arrive at work. IT issues guidance to City staff for protection of data and equipment. Essential staff will report to primary work location to assemble essential records, software, hardware, and other documents and equipment to perform essential functions to prepare for potential COOP activation. Essential staff will back up essential automated databases, and prepare designated essential equipment for possible COOP activation.
Event without Warning	<ul style="list-style-type: none"> Depending on systems status, essential staff is notified for possible COOP activation. Depending on the status of primary facilities, staff may evacuate and relocate to a continuity facility. Depending on the status of primary facilities, essential staff may be sent home if COOP activation is not necessary. IT will take whatever measures possible to protect data and equipment. If possible, essential staff will take essential records, software, hardware, and other documents and equipment in order to perform essential functions if COOP is activated. If time permits essential staff will back up essential automated databases, and prepare designated essential equipment for possible COOP activation. 	<ul style="list-style-type: none"> Depending on systems status, essential staff are notified to report to work for partial/full activation of COOP. Depending on the status of the primary facilities, essential staff may report directly to a continuity facility. Depending on the status of primary facilities, non-essential staff may be sent home. IT will report to the City to take whatever measures possible to protect data and equipment. If possible, essential staff will report to primary facility to retrieve essential records, software, hardware, and other documents and equipment in order to perform essential functions if COOP is activated. IT will report to the City to back up databases, and prepare designated essential equipment for possible COOP activation.

2.1.3 COOP Relocation

Relocation to an alternate facility occurs when a primary facility is damaged and rendered inoperable or unsafe and staff must evacuate. Each department annex lists potential alternate continuity facilities in the event relocation is necessary.

Figure 2-1 is a relocation decision matrix which depicts the decision process used to determine if relocation to an alternate facility is necessary.

**Figure 2-1
Relocation Decision Matrix**



2.1.4 Continuity Operations

The operations phase focuses on continuing mission essential functions:

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

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

2.1.5 Reconstitution

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

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

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

Table 1 lists departments that will lead reconstitution efforts.

Table 1: COOP Lead Reconstitution Departments

Situation	Lead Reconstitution Departments
Loss of building	Public Works
Loss of personnel	Human Resources
Loss of network infrastructure	Information Technology

2.1.6 Alert and Notification Process

Alert Procedures

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

Notification Procedures

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

2.2 Mission Essential Functions

Mission essential functions enable each department to provide vital services for staff and citizens. Each COOP annex is centered on the department's mission essential functions. It serves as an operational guide to facilitate the relocation of department staff to a continuity facility and the backup of critical systems and vital records so that mission essential functions may continue. The level and manner of support needed to continue mission essential functions depends on the nature of an incident. Each annex includes a list of the department's mission essential functions. For each mission essential function identified, the list also identifies personnel required to execute the function, the level of priority assigned to the function, and the resources required to support the function. Appendix B includes a matrix of the City's essential functions.

2.2.1 Guidelines and Criteria for Prioritization of Mission Essential Functions

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

Table 2: Recovery Time Objective Matrix

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

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

2.3 Orders of Succession

Orders of succession are activated when leadership is unable or unavailable to execute their duties during an emergency. Departments must establish, disseminate, and maintain their orders of succession by COOP critical positions. Orders of succession are addressed through internal policy or ordinances. Key personnel for City of Santa Rosa leadership and their successors have been identified in Table 3.

Table 3: City Leadership Orders of Succession

Principal Position		Successor Position
Mayor	Successor	Vice Mayor
City Council	Successors	Standby Officers
Principal Position		Successor Position
City Manager	Successor #1	Deputy City Manager
	Successor #2	Fire Chief
	Successor #3	Police Chief
Principal Position		Successor Position
City Clerk	Successor #1	Deputy City Clerk
	Successor #2	Administration Support Supervisors
	Successor #3	Administration Technician
Principal Position		Successor Position
City Attorney	Successor #1	Assistant City Attorney
	Successor #2	Assistant City Attorney
	Successor #3	Assistant City Attorney
Principal Position		Successor Position
Chief Financial Officer/ Department Director	Successor #1	Deputy Director of Finance
	Successor #2	Administrative Services Officer
Principal Position		Successor Position
Fire Department Chief	Successor #1	Deputy Chief
	Successor #2	Duty Chief
	Successor #3	Battalion Chief
Principal Position		Successor Position
Housing & Community Services Department Director	Successor #1	Deputy Director
	Successor #2	HCS Manager- Leased Housing
	Successor #3	HCS Manager- Trust
	Successor #4	Administrative Services Officer
Principal Position		Successor Position

Human Resources Department Director	Successor #1	Employment Services Manager
	Successor #2	Risk Manager
	Successor #3	Employee Relations Manager
Principal Position		
Information Technology Department Director	Successor #1	IT Section Manager
	Successor #2	IT Section Manager
	Successor #3	IT Supervisor
Principal Position		
Planning & Economic Development Department Director	Successor #1	Deputy Director - Planning
	Successor #2	Chief Building Official
	Successor #3	Deputy Director Engineering
Principal Position		
Police Department Chief	Successor #1	Captain (Field Services)
	Successor #2	Captain (Special Services)
	Successor #3	Lieutenant (EOC)
Principal Position		
Recreation & Parks Department Director	Successor #1	Deputy Director Parks
	Successor #2	Deputy Director Recreation
	Successor #3	Recreation/Crew Supervisors
Principal Position		
Transportation and Public Works Department Director	Successor #1	Deputy Director (Field Services)
	Successor #2	Deputy Director (Capitol Projects)
	Successor #3	Deputy Director (Traffic Engineering)
Principal Position		
Water Department Director	Successor #1	Deputy Director
	Successor #2	As Assigned

2.4 Delegations of Authority

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

exercising the authority of a superior should record important actions taken and the period during which the authority is exercised. Planning for delegations of authority involves the following:

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

Each departmental annex has identified the authority to be delegated, position holding authority, and limitations to their authority. Delegations of authority for key leadership for the City of Santa Rosa are identified in Table 4.

Table 4: Delegations of Authority

Successor to Principal Position 1	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 1: Mayor / City Council		
Vice Mayor	Full	
Standby Officers	Full	
Successor to Principal Position 2		Description of Limitations
Principal Position 2: City Manager		
1. Deputy City Manager		
Successor to Principal Position 3	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 3: City Attorney		
Assistant City Attorney		
Successor to Principal Position 4	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 4: Chief Financial Officer/Department Director		
1. Deputy Director of Finance	Full	
2. Administrative Services Officer	Full	
Successor to Principal Position 5	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 5: Fire Department Chief		
1. Deputy Chief	Full	
2. Duty Chief	Full	
3. Battalion Chief	Full	
Successor to Principal Position 6	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 6: Housing & Community Services Department Director		
1. Deputy Director	Full	
2. HCS Manager- Leased Housing	Full	
3. HCS Manager- Trust	Full	
4. Administrative Services Officer	Full	
Successor to Principal Position 7	Delegation of Authority (Full or Limited)	Description of Limitations

Principal Position 7: Human Resources Department Director		
1. Employment Services Manager	Full	
2. Risk Manager	Full	
Successor to Principal Position 8	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 8: Information Technology Department Director		
IT Section Manager	Full	
IT Section Manager	Full	
IT Supervisor	Full	
Successor to Principal Position 9	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 9: Planning & Economic Development Department Director		
1. Deputy Director - Planning	Full	Non-engineering decisions only
2. Chief Building Official	Full	
3. Deputy Director Engineering	Full	
Successor to Principal Position 10	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 10: Police Department Chief		
1. Captain (Field Services)	Full	
2. Captain (Special Services)	Full	
Successor to Principal Position 11	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 11: Recreation & Parks Department Director		
1. Deputy Director Recreation	Limited	Needs Director approval unless assigned
2. Recreation/Crew Supervisors	Limited	Needs Director approval unless assigned
Successor to Principal Position 12	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 12: Transportation and Public Works Department Director		
1. Deputy Director (Field Services)	Full	
2. Deputy Director (Capitol Projects)	Full	
3. Deputy Director (Traffic Engineering)	Full	
Successor to Principal Position 13	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 13: Water Department Director		
1. Deputy Director	Full	
2. As Assigned		

2.5 Critical Resources

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

COOP Planning Team members must ensure that unique critical equipment and critical information system requirements are considered in planning and, if appropriate, identified as

capabilities to be provided by support functions at the continuity facilities. Departments and divisions should maintain all necessary and up-to-date files, computer software, and databases required to carry out mission essential functions. Each annex lists the critical systems and critical equipment necessary to reestablish the department's mission essential functions.

2.6 Essential Records

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

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

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

- There are currently three data centers in the City that provide redundancy in the back up of data.
- Server and application backups are performed nightly. Shares (network files) are backed up every four hours (snapshots).
- The City uses backup servers and data, then mirroring to save backups from one datacenter to the other.
- IT performs a backup of the City's financial system and Laserfiche to the Cloud, nightly.

City of Santa Rosa personnel are advised to:

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

2.7 Continuity Facilities

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

2.7.1 Continuity Facility Assumptions

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

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

- Ensure that only mission essential functions are performed at the continuity facility.
- Pool resources among departments and divisions to acquire space for a continuity facility.
- Co-locate with another department while providing each with individually designated space to meet continuity facility needs.
- Offer telecommuting, if the essential function allows, as a short-term solution.

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

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

2.8 Communications

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

- Land line phone (voice/fax) system
- Internet access, E-mail, and City website
- Two-way radios (public safety)
- Satellite phones
- Amateur radios
- SoCo Alert
- Cell phones
- Emergency Alert Notification System
- Alerts on radio stations KSRO 1350 AM KZST 100.1 FM and KBBF 90.1 FM

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

Access to critical information systems used to accomplish mission essential functions. The following chart describes each of the communication systems that might be used, the department responsible for maintaining the system, and the key personnel responsible for updating and implementing these systems when needed.

Table 5: City Communications Systems Matrix

Communication System Name	System Description	Responsible Department
Land line phone	Office phones to use as a primary source of communications	IT
Internet Access, Email and City website	Access to the Internet through City computers and other devices. Messages sent via Email and posted on City website	IT
Police and Fire Radios	Two-way radios	Police/Fire Department/ IT
Satellite Phones	A type of mobile phone that connects to orbiting satellites instead of terrestrial cell sites	Police/Fire Department/ IT
Amateur Radios	The use of radio frequency spectrum for purposes of non-public safety commercial exchange of messages.	Office of Emergency Preparedness
SoCo Alert	SoCoAlert is a free emergency notification service that provides Sonoma County first responders the ability to notify residents and businesses by telephone, mobile phone, text message, email, and social media regarding time-sensitive emergency notifications.	Office of Emergency Preparedness/ Police/Fire Department

2.9 Devolution of Command and Control

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

The City of Santa Rosa has the following devolution agreements in place:

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

Section 3

RISKS, VULNERABILITIES, AND MITIGATION STRATEGIES

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

The City of Santa Rosa Local Hazard Mitigation Plan, October 2016, (LHMP) conducted a quantitative assessment of how each hazard affects the city and critical facilities. A comprehensive vulnerability and risk assessment can be found in Chapter 3 of the Santa Rosa LHMP.

The hazards that pose a threat to the City of Santa Rosa include:

Natural Hazards	Technological Hazards	Human Caused Hazards
<ul style="list-style-type: none"> ▪ Earthquakes ▪ Flooding ▪ Landslides ▪ Drought ▪ Wildland/urban interface fires ▪ Extreme weather or storms 	<ul style="list-style-type: none"> ▪ Dam Failure/Inundation ▪ Hazardous Materials Incidents ▪ Mass Casualty Incidents ▪ Building Collapse or Explosion ▪ Train or Airplane Crash ▪ Utility Outage 	<ul style="list-style-type: none"> ▪ Terrorist Attacks ▪ Civil Disturbance ▪ Cyber Attacks ▪ Public Health Emergencies

The hazard mitigation plan identifies 180 critical facilities for incorporation in the hazard vulnerability and risk analysis. A complete vulnerability and risk assessment was completed for all facility types, including City-owned utilities. The critical facilities include 16 city facilities, 12 fire facilities, 4 government center facilities, 12 healthcare and hospital facilities, 58 school facilities, and 78 utility facilities. In addition, facilities such as hospitals, water treatment plants, and dams provide the ability to protect important services and could cause further harm if damaged.

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

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

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

1. Localized Emergency Requiring Relocation to Alternate Site

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

Section 4

MULTIYEAR STRATEGY AND PROGRAM MANAGEMENT

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

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

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

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

Table 8 provides a guide to the COOP Planning Team for scheduled maintenance and updates of the COOP.

Table 8: Plan Maintenance Strategy

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

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

Section 5

TEST, TRAINING, AND EXERCISE

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

5.1 Training

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

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

5.1.1 New Personnel

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

5.2 Testing Program

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

5.2.1 Testing Schedule

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

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

5.3 Exercises

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

5.3.1 After Action Report

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

Acronyms

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

Definitions

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

COOP – Acronym for Continuity of Operations Plan which is plan to ensure the continuance of essential functions and services and the resumption of time-sensitive operations in the event of an emergency or disaster.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix A

Authorities and References

The COOP acknowledges documents that provide legal authority for the plan and briefly summarize the scope and limitations of that authority.

Authorities

- Homeland Security Act of 2002 (6 U.S.C § 101 *et seq.*), November 25, 2002
- Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, April 3, 1984, as amended
- Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, November 18, 1988, as amended
- National Security and Homeland Security Presidential Directives 20 and 51
- Presidential Decision Directive 67, *Ensuring Constitutional Government and Continuity of Government Operations*, October, 1998
- Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*, February, 2008

References

- National Continuity Policy Implementation Plan, dated August 2007
- Federal Emergency Management Agency (FEMA) Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions), July 2010
- FEMA Continuity Plan Template and Instructions for Non-Federal Governments, September 2013.
- FEMA Continuity Guidance Circular 1 (CGC 1), Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions), FEMA, July 2013
- FEMA Continuity Guidance Circular 2 (CGC 2) Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions), October 2013
- 36 Code of Federal Regulations, Part 1234, Electronic Records Management, Part 1236 Management of Vital Records
- National Incident Management System (NIMS), December 2008
- National Fire Protection Association (NFPA) 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2013 Edition

State of California COOP Authorities

- State of California Senate Bill 61 Allowing Governing Bodies to Create Contingency Plans for Emergencies
- California Administrative Code Title 13, Chapter 6, Records Retention Scheduling Rules
- California Local Government Code, §441.180, Records Retention
- California Department of Information Resources (DIR) California Administrative Code (TAC) Title 1 §202.74



- California Government Code Subchapter E, Chapter 418, §418.111 and §418.112
- California Government Code Section 418.004, Government Code
- California Governor's Office of Emergency Services Continuity Planning Guidance, August 2016

Local COOP Authorities

- City of Santa Rosa Emergency Operations Plan, v. 2013 and v. 2017
- City of Santa Rosa Local Hazard Mitigation Plan, 2016

Appendix B

City Mission Essential Functions

Table B-1 lists the mission essential functions identified by each City department in priority order for recovery time objectives.

Table B-1
Prioritized Mission Essential Functions

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Tier 1 (0-12 hours, <24 hours)			
City Administration – all Divisions	Communication with partners and community	All Divisions maintain communication with partners and community about the various needs of the community	Within 0 – 12 Hours Less than 24 hours
City Administration – CM	Manage Council and Executive Staff	City Manager maintains oversight, coordination, and communication with Council and Executive Staff	Within 0 – 12 Hours Less than 24 hours
City Administration – CM, Clerk	Coordinate and conduct emergency Council meeting(s), Set meeting agendas	Organize and convene Council emergency meeting(s) including logistics, setup, video, minutes, etc. CM sets Council meeting agendas with Mayor	Within 0 – 12 Hours Less than 24 hours
City Administration – CM	Customer Service	Front Office provides timely and quality customer service with partners and community	Within 0 – 12 Hours Less than 24 hours
Financial Services Division, Budget Section	Assess Cash Flow	Ensure that adequate liquid funds will be available to meet needs	Within 0 – 12 Hours Less than 24 hours
Finance – Payroll & Benefits Division	Process Payroll	Process employee timecards and issue paychecks/ACH deposits (depending on when event occurs)	Within 0 – 12 Hours Less than 24 hours
Finance – Purchasing Division, Accounts Payable Section	Critical A/P Payment Processing	Process Child Support and Landlord payments (depending on when event occurs)	Within 0 – 12 Hours Less than 24 hours
Finance – Revenue Division, Water Billing Section	Read Meters – Process Starts/Stops of Water Service	Read Meters/process starts and stops of water service	Within 0 – 12 Hours Less than 24 hours
Finance – Purchasing Division, Warehouse Section	Operate the Main Warehouse	Issue supplies/water/first aid products/fuel to potential depts. Impacted	Within 0 – 12 Hours Less than 24 hours
Fire – Operations	Response Capabilities	Logs Support/Personnel/ Fleet	Within 0 – 12 Hours Less than 24 hours
Fire – Operations	Communications	Dispatch/Radio/Phone/ HAM/IT	Within 0 – 12 Hours Less than 24 hours

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Fire – Operations	Facilities	Safety/Security/ Generators	Within 0 – 12 Hours Less than 24 hours
Fire – Operations	Response Capabilities	Additional Logistical Support	Within 0 – 12 Hours Less than 24 hours
HCS – Code Enforcement	Inspect vital City buildings for damage	Assess habitability; condemn uninhabitable space	Within 0 – 12 Hours Less than 24 hours
HCS – Code Enforcement	Inspect other City buildings for damage	Assess habitability; condemn uninhabitable space	Within 0 – 12 Hours Less than 24 hours
HCS – Homeless Services	Check on homeless shelter operations	Determine if homeless shelters are habitable	Within 0 – 12 Hours Less than 24 hours
Human Resources	Staffing	Coordinate with EOC, Payroll and essential response departments to provide adequate staffing for event response and essential City operations.	Within 0 – 12 Hours Less than 24 hours
Human Resources	Consultation and Compliance	Comply with and answer urgent questions regarding MOUs, and employment laws, regulations, and policies. Maintain and process emergency employment transactions and other essential/required records.	Within 0 – 12 Hours Less than 24 hours
Human Resources	Mediation and Conflict Resolution	Advise and assist managers handling urgent personnel-related matters and resolve conflicts, and deal with emergencies.	Within 0 – 12 Hours Less than 24 hours
HR – Risk Management	Insurance Implementation	Notify and coordinate with carriers to initiate claims process.	Within 0 – 12 Hours Less than 24 hours
HR – Risk Management	ADA Compliance	Respond as necessary to ADA requests or complaints related to event or related to any City services or programs.	Within 0 – 12 Hours Less than 24 hours
HR – Risk Management	Injury Response	Report employee injuries within 24 hours of incident to REMIF and mandatory reporting to OSHA within 8 hours of serious injuries.	Within 0 – 12 Hours Less than 24 hours
HR – Risk Management	Safety & Claims	Coordinate with Liability Claims contact (RMS) and prepare response plan relevant to incident. Develop Safety Plan.	Within 0 – 12 Hours Less than 24 hours
IT Operations	Verify network connectivity is available	Determine if network connectivity is available. Check City fiber, Comcast or AT&T. Cutover to available network	Within 0 – 12 Hours Less than 24 hours
IT Operations	Ensure phone, voicemail & phone conferencing is working	Bring up phone switches and voicemail servers and conferencing appliance at available locations	Within 0 – 12 Hours Less than 24 hours
IT Operations	SAN connectivity	Determine SAN status for CHA and UFO. Break mirrors if one site is down and bring servers on available SAN	Within 0 – 12 Hours Less than 24 hours

MISSION ESSENTIAL FUNCTIONS

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
IT Operations	Internet Connectivity	Cutover to available Internet connection. (AT&T or Comcast). If both are out, contact Vista Broadband for Microwave Connectivity.	Within 0 – 12 Hours Less than 24 hours
IT Operations	Ensure VPN appliance is working	Ensure VPN appliance is available and working for remote workers	Within 0 – 12 Hours Less than 24 hours
IT Operations	Restore top 50 VM servers	Start SRM	Within 0 – 12 Hours Less than 24 hours
IT Operations	GIS availability	Ensure AGS2, SD2 and GEOHB servers are connected and running	Within 0 – 12 Hours Less than 24 hours
IT Operations	SharePoint environment (EOC & iNet)	Bring up SharePoint Server Farm	Within 0 – 12 Hours Less than 24 hours
Planning & Economic Development	EOC	Staff EOC	Within 0 – 12 Hours Less than 24 hours
Planning & Economic Development – Building	Damage Investigation	City Buildings	Within 0 – 12 Hours Less than 24 hours
Planning & Economic Development – Engineering / Building	Damage Investigation	Assist PW	Within 0 – 12 Hours Less than 24 hours
Police – Facilities	Power/Generator (Generator/Fuel) <4 hrs.	Backup generator requires fuel or 4 hours.	Within 0 – 12 Hours Less than 24 hours
Police – Main Communication	Field Services/ Dispatch	Radio/Telephone/911	Within 0 – 12 Hours Less than 24 hours
Police – Field Services/Patrol	Police – Public Safety/Emergency Response/Civil Unrest/Protection/Traffic Safety	Uniform Patrol for emergency response and calls for service	Within 0 – 12 Hours Less than 24 hours
Police – Special Services/Investigations	Police – Criminal Investigations	Investigate serious crime, Intelligence	Within 0 – 12 Hours Less than 24 hours
Police – TSD/IT Bureau	Police – IT Department Technology	Daily maintenance of department technology infrastructure.	Within 0 – 12 Hours Less than 24 hours
Rec & Parks – Tree Service	Clear roadways and facilities and creeks	Help repair any possible broken water lines	Within 0 – 12 Hours Less than 24 hours
Rec & Parks – Irrigation Service	Repair any leaks/general maintenance	Do first assessment and report to Building Department any known issues	Within 0 – 12 Hours Less than 24 hours
Rec & Parks – Building Assessment/ Maintenance	First Assessment of buildings to report conditions and assist with any evacuations	Report to Building Department any issues to help with assessment of structure	Within 0 – 12 Hours Less than 24 hours
TPW – Electrical	Inspect Electrical systems	Streetlight, Signal, Buildings	Within 0 – 12 Hours Less than 24 hours
TPW – Engineering	Bridge/Dam Inspection	Run Bridge Routes	Within 0 – 12 Hours Less than 24 hours

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
TPW – Fleet	Vehicle Supply	Maintain Fleet	Within 0 – 12 Hours Less than 24 hours
TPW – Streets	Clear Streets Debris	Maintain Flow of traffic	Within 0 – 12 Hours Less than 24 hours
Transit Operations	Restore regular service (or as much as possible)	Restore regular bus route and paratransit service based on conditions.	Within 0 – 12 Hours Less than 24 hours
Transit Operations	Bus Operators	Determine staff available to achieve service restoration. Create staffing plan based on available personnel.	Within 0 – 12 Hours Less than 24 hours
Transit Operations	Fuel and Maintenance	Ensure sufficient fuel is available and that maintenance is available to perform repairs.	Within 0 – 12 Hours Less than 24 hours
Transit Operations	Communication network	Ensure communication tools are available, such as radios and phones.	Within 0 – 12 Hours Less than 24 hours
Tier 2 (24-72 hours)			
City Administration – CM	Decision-maker	<ul style="list-style-type: none"> Contracts <100k Budget modifications FEMA Personnel and appointments Franchises (i.e. refuse services) 	24 - 72 hours
City Administration – CM, Clerk	Continued coordination of Council meetings and legislative process; Brown Act compliance	Organize and convene Council meeting(s); submit legislative actions to appropriate agencies; provide public/press access to meetings/actions	24 - 72 hours
City Administration – Council	Decision-maker	<ul style="list-style-type: none"> Policy Contracts 100k+ Budget appropriations Spokesperson (Mayor only) 	24 - 72 hours
City Administration – Clerk	Records Management	Maintain and preserve city records, and respond to Public Records Act requests	24 - 72 hours
City Administration – Clerk	FPPC Filings	Comply with filing official duties mandated by the Political Reform Act	24 - 72 hours
City Administration – CE	Community Advisory Board (CAB), community grants, coordinate volunteers	Council appointed community advisory board focused on building and strengthening relationships with residents, including administering annual \$1,000 community enhancement grants; collaborate with Rec & Parks to coordinate community volunteers	24 - 72 hours
City Administration – CM	Board/Task Force support	Provide support for meeting(s) including logistics, setup, video, minutes, etc.	24 - 72 hours

MISSION ESSENTIAL FUNCTIONS

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
Finance – Parking Division - Parking Enforcement Section	Parking Enforcement	Enforce parking meters and restricted parking areas	24 - 72 hours
Finance – Parking Division - Parking Operations Section	Parking Maintenance	Routine equipment repair to maintain operations/service	24 - 72 hours
Finance – Parking Division - Parking Maintenance	Parking Operations	Serve parking customers in garages	24 - 72 hours
Finance – Parking Division-Admin	Parking Administration	Parking payments, customer services	24 - 72 hours
Finance – Revenue Division – Revenue/Collections Section	Cash Collection	Brinks Pick up cash	24 - 72 hours
Finance – Revenue Division- Water Billing Section	Water Billing	Process customer water bills	24 - 72 hours
Fire – Administration	Operations Support	Support ongoing Operations and Prevention field missions	24 - 72 hours
Fire – Prevention	Response Capabilities	Power/IT/Comms/Logs Support	24 - 72 hours
HCS – Code Enforcement	Inspect private buildings, houses, etc. for damage	Assess habitability; condemn uninhabitable units	24 - 72 hours
HCS – NRP	Inspections of NRP neighborhoods; housing safety	Code Enforcement and Fire Department inspections of NRP neighborhoods	24 - 72 hours
HCS – Leased Housing (Housing Choice Vouchers)	(HCV)Inspections of housing units for clients; housing safety	Assess habitability; condemn uninhabitable units	24 - 72 hours
Human Resources	Staffing	Maintain coordination with EOC, Payroll and City departments to ensure adequate staffing including recruitment and onboarding of temporary help, and compliance with employment laws and regulations, as other departments come on-line with normal business.	24 - 72 hours
Human Resources	Consultation and Compliance	Prioritize, advise, and assist managers handling normal personnel-related matters and resolving conflicts. Assist employees dealing with emergencies. Maintain position control, personnel files, employment transactions and other routine records as possible. Respond to PRAs and time-critical requests from other agencies as required by law. Administer leaves.	24 - 72 hours
Human Resources	OD and Meeting Facilitation	Facilitate community meetings between City staff and residents as needed.	24 - 72 hours
HR – Risk Management	Drug Testing	Schedule mandatory drug testing and results for safety sensitive positions and post-accident testing.	24 - 72 hours

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
HR – Risk Management	Insurance Coordination	Continue to work with brokers, field agents, and analysts to document insurance issues and efficiently transfer information to carriers.	24 - 72 hours
IT Operations	Ensure Wireless Connectivity is available	Bring up Wi-Fi Controller/Check internal and guest wireless access	24 - 72 hours
IT Operations, Development, GIS, Administration	Helpdesk/ Programmers/GIS/Secretary area needed	Find suitable place for IT support to work. Make PCs & laptops available and/or telecommuting	24 - 72 hours
Planning & Economic Development – Building	Damage Investigation	Vital Buildings	24 - 72 hours
Planning & Economic Development – Building	Damage Investigation	Private Buildings	24 - 72 hours
Planning & Economic Development	Public Information	Reports and Intake	24 - 72 hours
Police – TSD/Records Bureau	Process and maintain all crime reports and documents.	Process all crime reports, traffic reports, PRA requests.	24 - 72 hours
Police – TSD	Court Liaison	Database for C.L.	24 - 72 hours
Rec & Parks – Building assessment / Maintenance	Secure building shut off utilities if necessary, start authorized building repairs	Clean restrooms for possible heavy use	24 - 72 hours
Rec & Parks – Park Maintenance	Clean/stock restrooms in parks	Provide positive programs and space for those in need	24 - 72 hours
TPW – Electrical	Repair failed systems	Traffic, Street, Building	24 - 72 hours
TPW – Engineering	Bridge/Dam/Contracts Contract sorts	Status, inspection	24 - 72 hours
TPW – Fleet	Maintain Fleet	Secure specialty equip.	24 - 72 hours
TPW – Streets	Provide safe travel routes	Open streets	24 - 72 hours
Transit Administration	Communication with customers and tracking costs	Ensure customers have a reliable information source for transit information. Track expenditures and costs associated with the operation.	24 - 72 hours
Tier 3 (72 hours-1 week)			
City Administration – The Partnership	Manage Policy & Operational Teams, including strategic plan implementation	Coordinate, facilitate, and implement the comprehensive collaborative of over 50 organizations focused on reducing youth and gang violence	72 hours to 1 week

MISSION ESSENTIAL FUNCTIONS

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
City Administration – The Partnership	CalGRIP grant program	Maintain compliance of State grant from Board of State and Community Corrections (BSCC) to coordinate and implement a referral system tailored to connect youth and families to services. Note: grant concludes 12/31/17	72 hours to 1 week
City Administration – The Partnership	CHOICE Grant Program	Manage and evaluate Measure O grant program for community-based organizations and schools to implement gang and violence prevention, intervention, and reentry programs for youth and families.	72 hours to 1 week
Finance – Payroll & Benefits Division	PERS, Electronic File Transfers & Tax Reporting	Depending on when event occurs, state & federal concrete deadlines	72 hours to 1 week
HCS – Leased Housing	Issue vouchers for damaged units/ condemn uninhabitable units	Issue vouchers for damaged units/ condemn uninhabitable units	72 hours to 1 week
HCS – Homeless Services	Help shelter operators find alternate shelter location	Help shelter operators find alternate shelter location	72 hours to 1 week
HCS – Leased Housing	(HVC) Help clients find new permanent housing as needed	Help clients find new permanent housing as needed	72 hours to 1 week
HCS – NRP	(NRP) Help residents find new permanent housing as needed	Help residents find new permanent housing as needed	72 hours to 1 week
Human Resources	Employee Relations	Prioritize and respond to urgent and routine business. Resume HR responsibilities in the areas of employee and labor relations, disciplinary actions and grievances, etc.	72 hours to 1 week
Planning & Economic Development	Permitting	Repair Permits	72 hours to 1 week
Planning & Economic Development	Public Information	Recovery Process	72 hours to 1 week
Planning & Economic Development	Entitlements	New Projects	72 hours to 1 week
Planning & Economic Development	Communication	Use media outlets and communication platforms to inform business community of emergency info and resources available; computers, phones, internet connection	72 hours to 1 week
Police – TSD Property/Evidence	Maintains all booked property	Receives, processes, stores, delivers, releases, and disposes of items which are Found, Safe keeping, Evidence.	72 hours to 1 week
Rec & Parks – Community Center	Providing safe space for programming or shelter	Inspect play structures for safety and red tag if necessary. Coordinate with trash hauler to keep facility clean	72 hours to 1 week
Rec & Parks – Park Maintenance	Provide a safe clean gathering environment	Get all operations up and running	72 hours to 1 week

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
TPW – Electrical	Install/Maintain Temp sys	Generators, lights, signals	72 hours to 1 week
TPW – Engineering	Contracts/Inspection	Design/Build Damaged Inf	72 hours to 1 week
TPW – Fleet	Maintain Fleet	Maintain & Repair City vehicles	72 hours to 1 week
TPW – Streets	Re-open closed routes	Remove temp detours	72 hours to 1 week
Transit Administration	Transit Planning	Resume planning functions; restore programs and ridership data tracking, evaluate system performance.	72 hours to 1 week
Tier 4 (1 week-30 days)			
City Administration – Clerk	Boards and Commissions compliance	Conduct recruitments for Board, Commission and Committee vacancies	1 week to 30 days
City Administration – Council	Advisory board and commission appointments, Administer oaths and affirmations	Council appointments to boards and commissions (i.e. Planning Commission, Board of Public Utilities, Board of Community Services, Measure O Citizen's Oversight committee, etc.)	1 week to 30 days
City Administration – The Partnership	CHOICE mini grant program	Manage ongoing Measure O mini grant awards for up to \$5,000 for community-based organizations and schools which build capacity to deliver services to youth and families.	1 week to 30 days
City Administration – CM	Manage Council goal implementation	Coordinate and implement department response to Council goals and objectives	1 week to 30 days
Finance – all divisions	All Remaining Finance Functions	All Remaining Finance Functions	1 week to 30 days
HCS – Housing Trust	(Trust) Communication with borrowers	Communicate with borrowers re outstanding loans	1 week to 30 days
HCS – Leased Housing	(HCV) Pay rent to landlords / check client listing	Work with AP to issue checks to landlords	1 week to 30 days
HCS – Housing Trust	Housing Trust Reporting	Submittal of reports required by other agencies (Fed Gov't)	1 week to 30 days
Human Resources	Classification and salary, policy and procedures, training, etc.	Respond to routine inquiries and needs of City Employees, etc. Classification and compensation studies and recommendations, salary schedule administration, labor negotiations, routine required reporting, developing and recommending policies and procedures, routine and new recruitments, staff development and training.	1 week to 30 days

MISSION ESSENTIAL FUNCTIONS

Department	Mission Essential Function	Mission Essential Function Description	Recovery Time Objectives
HR – Risk Management	Benefits	Entry of health and/or retirement benefit data and tracking.	1 week to 30 days
HR – Risk Management	Catastrophic Leave	Review by committee for those requesting catastrophic leave.	1 week to 30 days
HR – Risk Management	Workers' Compensation	Continuation of claims tracking and resolution.	1 week to 30 days
HR – Risk Management	Interactive Process	Interactive meetings with staff and supervisors regarding restricted return to work duties.	1 week to 30 days
HR – Risk Management	Risk and Safety	Facilitate normal Risk activities. Facilitate FTA drug policies, CAT Leave, and remaining Safety policies.	1 week to 30 days
Planning & Economic Development	Public Information	Non-permit Related	1 week to 30 days
Planning & Economic Development	Voluntary Inspection	Non-Mandatory	1 week to 30 days
Planning & Economic Development	Marketing and outreach	Computers, telephones, email, internet connection, access to press	1 week to 30 days
Rec & Parks – Recreation	Open offices for public participation and registration	Get all operations up and running	1 week to 30 days
Rec & Parks – Park Maintenance	Full operation	Back doing regular work duties	1 week to 30 days
Rec & Parks – Building Maintenance	Preventive maintenance programs	Back doing regular maintenance	1 week to 30 days
Rec & Parks – Parks Maintenance	Routine Park maintenance	First responders to help clear trees and debris	1 week to 30 days
TPW – Electrical	Install/Maintain Temp sys	Generators, lights, signals	1 week to 30 days
TPW – Engineering	Contracts/Inspection	Design/Build Damaged Infrastructure	1 week to 30 days
TPW – Fleet	Maintain Fleet		1 week to 30 days
TPW – Streets	Re-open closed routes	Remove temp detours	1 week to 30 days

Appendix C

Continuity of Operations Planning Leads

Table C-1
Continuity of Operations (COOP) Key Positions Administrator

COOP Administrator	
City Administration	Position: City Manager
COOP Coordinator	
Fire Department	Position: Emergency Preparedness Coordinator

Table C-2
COOP Leads and Alternates

Department	COOP Lead	COOP Alternate
City Administration	Deputy City Manager	Interim Executive Management Assistant
City Attorney's Office	Assistant City Attorney	Administrator, City Attorney's Office
Finance Department	Administrative Services Officer (ASO)	Deputy Director
Fire Department	Administrative Services Officer (ASO)	Research & Program Coordinator
Housing & Community Services Department	Administrative Services Officer	Deputy Director
Human Resources Department	Risk Manager	Employment Services Manager
Information Technology Department	IT Section Manager	IT Supervisor
Planning and Economic Development Department	Supervising Engineer	Chief Building Official
Police Department	Administrative Services Officer	TSD Manager
Recreation & Parks Department	Recreation Supervisor	Recreation Supervisor
Transportation and Public Works Department	Streets Supervisor	Streets Superintendent
Water Department	Safety and Training Coordinator	Safety and Training Coordinator

Appendix D

Continuity Facility Matrix

Table D-1
Continuity Facility Matrix

The City of Santa Rosa Continuity Facility Matrix presents the continuity facilities identified by department representatives in the event the primary facility for the department has been damaged or rendered unusable. However, depending on circumstances and the degree to which primary and continuity facilities are impacted, the listed continuity facilities may not be available or suitable for use in that capacity. In those circumstances, department leadership and COOP Planning Leads or Alternates must exercise sound judgment in determining where to relocate departments.

Department	Primary Location	Continuity Location 1	Continuity Location 2	Continuity Location 3
City Administration				
City Attorney's Office				
Finance Department	City Hall Annex (critical: 16)	Chamber Building (Payroll/AP)	Garage 9 (Parking Admin)	Warehouse (Revenue)
	Chamber Building (critical: 1)	City Hall Annex	City Hall	Warehouse
	Garage 9 - Parking Operations/Maintenance (critical:11)	Garage 3 (Parking Maintenance)	City Hall Annex (Parking Operations)	Various garage booths
	Warehouse (critical 1)	Chamber Building	City Hall Annex	City Hall
	City Hall- Parking Enforcement/ Adjudication (critical 2)	Garage 9	City Hall Annex	Garage 3
Fire Department	Fire Department Administration	Tower	SRPD 2 nd floor	
	Fire Stations (11)	Other Fire Stations (11)		

Department	Primary Location	Continuity Location 1	Continuity Location 2	Continuity Location 3
Housing & Community Services Department	City Hall Room 6 -Trust Wing			
	City Hall Room 1B -Code Enforcement			
	City Hall Annex 1 st Floor			
	Council Chambers	Finley Center	UFO Room A	
Human Resources Department	City Hall 100 Santa Rosa Ave Rm. 1	Chamber 1 st floor conference room	Public Safety Building	
	Chamber Building 635 1 st Street, 2 nd Floor	Chamber 1 st floor conference room		
Information Technology Department	Person Senior Wing – Computer Lab	Fire Training Tower Class Rooms		
Planning and Economic Development Department	City Hall	Finley Center		
Police Department	Patrol Public Safety Building 965 Sonoma Avenue, Santa Rosa Ca. 95404	Santa Rosa Fire Department Training Tower 2126 W. College Ave, Santa Rosa Ca. 95401		
	Communications - Dispatch 965 Sonoma Avenue, Santa Rosa Ca. 95404	Santa Rosa Fire Department Training Tower 2126 W. College Ave, Santa Rosa Ca. 95401	Sonoma County Sheriff's Department 600 Administration Drive, Santa Rosa Ca. 95403	
	Records 965 Sonoma Avenue, Santa Rosa Ca, 95404			
	Evidence 965 Sonoma Avenue, Santa Rosa Ca, 95404			
	Information Technology 965 Sonoma Avenue, Santa Rosa Ca, 95404			
Recreation & Parks Department	S19	Service Corporation Yard	MSCN	Finley Back Parking Lot
	Finley Community Center	Person Senior Wing	Steele Lane Community Center	Bennett Valley Senior Center

Department	Primary Location	Continuity Location 1	Continuity Location 2	Continuity Location 3
Transportation and Public Works Department	MSC-N (Garage)	MSC-N S9/10 (TPW DOC)		
	MSC-S (Administrative Support)			
	MSC-S (Engineering)			
	MSC-N (Materials Engineering Lab)			
	MSC-N (Garage)			
	MSC-S (Administrative Support)			
Water Department	Brown Farm	LTP		

Appendix E

Continuity of Operations Plan Activation Job Aid

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

Table E-1
COOP Planning Leads/Alternates Job Aid

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

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

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

Appendix F

COOP Relocation Checklist

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

Table F-1
COOP Relocation Checklist

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