

2015

**BANNOCK COUNTY  
EMERGENCY OPERATIONS  
CONTINUITY OF OPERATIONS PLAN  
VOLUME 5**



December 2015



# BANNOCK COUNTY CONTINUITY OF OPERATIONS BASE PLAN

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# BANNOCK COUNTY CONTINUITY OF OPERATIONS BASE PLAN

## INTRODUCTION

Loss of facilities, infrastructure, or available personnel may affect the ability of Bannock County to provide services to the community. Facilities could be lost as a result of explosion, contamination, flooding, or other hazards. The facilities may remain intact but be rendered unavailable or decremented due to a loss of infrastructure such as power, phones, computer systems, water, or access roads. Facilities and infrastructure may be unaffected, but the County may still be unable to perform its mission due to large numbers of injured, or in the case of a pandemic, ill employees.

Two primary examples of scenarios that may lead the County to the decision to activate the COOP would be:

- Natural and/or man-made disasters
- Epidemic or Pandemic disease

Key: ***Public Safety*** is the ***number 1 priority*** in Continuity of Operations Planning!

If a disaster strikes requiring COOP activation, Bannock County will issue information on the continuation or continuity of delivery of County services. In a worst-case scenario, “business as usual” may cease for County organization as well as for the entire region. Dramatic measures may have to be implemented, including shutting down certain functions that involve high levels of interaction with the public. County officials may have to make recommendations to the community to restrict travel, cancel public events such as concerts or sports, and close schools.

## PURPOSE AND OBJECTIVES

### PURPOSE

The purpose of the COOP is to allow Bannock County to continue to provide essential services to the community in the event of a total or partial loss of its facilities, infrastructure (utilities, Information Technology (IT), roads, etc.), and/or available personnel. Every effort will be made to continue to provide prioritized essential functions (those where even a temporary interruption would negatively impact the County’s ability to provide for the safety of the public and fulfill the requirements of laws, statutes, or ordinances), while it is accepted that non-prioritized functions may be temporarily curtailed for the period of COOP operations.

This COOP Plan enables Bannock County Government at all levels to identify, locate, access, organize, and utilize necessary resources to preserve the provision of vital services that support the continuation of essential functions.

### OVERARCHING OBJECTIVES

While the overarching objective of the COOP planning effort is to ensure the continuous performance of essential functions during an emergency, COOP Plans also enable organizations to:

- Reduce loss of life and minimize damages and loss to critical processes and information,
- Provide for a succession of leadership to perform necessary duties when normal leadership is suspended,

- Reduce or prevent disruptions to operations,
- Protect facilities, infrastructure, equipment, vital records, and other necessary assets, and,
- Recover from an emergency in a timely and orderly manner, and resume full services.

COOP is good business practice and responsible and reliable administration. It enables organizations to reduce the consequences of disruptive events to manageable levels and continue to operate during vulnerable conditions.

## SCOPE

This **Base Plan** describes the concepts and functions of COOP operations and how they apply to Bannock County as an entity, as well as individual department level COOP Plans contained herein as **Annexes** that contain more detailed COOP instructions for each division, department, or agency within the County. The individual COOP Plans outline the prioritized essential functions that need to be maintained during a COOP. The Plans also identifies prioritized resources, staff, equipment, facilities, and supplies that will be required to sustain these prioritized essential functions. Essential functions are categorized in the Plan as priorities 1-5. The individual Plans address how to deliver and sustain priority functions.

The major elements of COOP planning that are addressed by this Plan are:

- 1) Risk Management
- 2) Essential Functions
- 3) Delegation of Authority and Orders of Succession
- 4) Alternate Facilities
- 5) COOP Communications
- 6) Vital Records, Databases, Supplies, Systems, and Equipment
- 7) Human Capital Management: Salary, Benefits and Leave, Key Position Assignments, Remote Work
- 8) Testing, Training, and Exercise Programs
- 9) Devolution of Contract and Direction
- 10) Reconstitution Operations

## PLANNING ASSUMPTIONS

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

- Activation of this Plan may be required at any time.
- Some or all information or communications systems may be degraded or unavailable.
- Operational capability will be achieved within twelve hours of activation and may be sustained for up to thirty days.
- Any task not deemed “essential” must be deferred until additional personnel and resources become available.

- This Plan and the implementation must be flexible to adapt to the needs of the particular situation.

## **PLANNING INTEGRATION**

In order to ensure the resiliency and survivability of essential services, Bannock County Organizations should:

- Coordinate their COOP plans with those of neighboring jurisdictions
- Coordinate their COOP plans with Local, Tribal, State and Federal entities to ensure plans are well-coordinated with their functional counterparts at other levels of government
- Coordinate with local, state, and federal preparedness, response, and Homeland Security related plans, and other plans as appropriate

## **DEVELOPING COOP CAPABILITY**

As County Elected Officials and Department Heads developed their own COOP/COG Plan, the following planning strategies were utilized:

- Plans and procedures were developed to guide management and personnel during a crisis
- Risk management initiatives were identified, to control, and minimize the impact of uncertain events
- Budgeting and resource allocation to support COOP efforts have been identified where applicable
- Operational Phases, established herein, which guide implementation of the COOP Plan during various phases of a COOP event were followed

Establishing COOP capabilities relied on the accessibility, coordination, and management of available resources, comprised of:

- Human capital – leadership and personnel – to drive and implement the COOP program
- Critical equipment required to deliver Essential Functions
- Communications and technology to enable information to be accessed, obtained, circulated, and disseminated
- Facilities to provide a working environment in which to establish COOP operations

Combined, these components and resources ensure viability of the Bannock County Office and Department's COOP capability.

## **COOP PLANS AND PROCEDURES**

The viability of COOP programs relies on having detailed and well-researched COOP plans supported by tested and verified procedures to activate and implement the Plan.

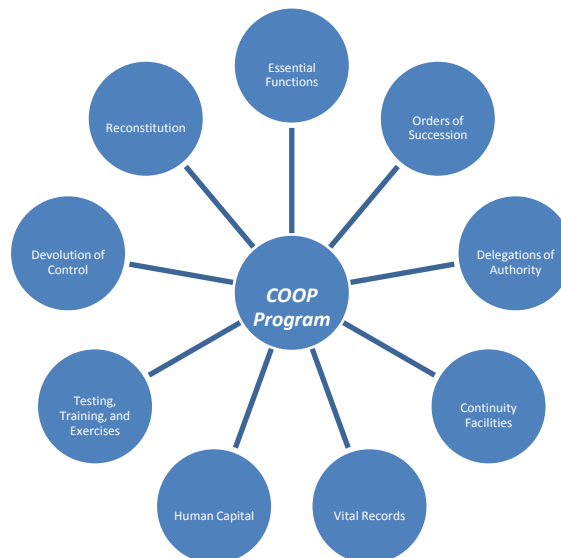
For the Bannock County COOP program to be effective efforts have been made to:

- Maintained at a high level of readiness
- Capable of being implemented both with and without warning

- Operational no later than 12 hours after activation where appropriate
- Capable of sustaining operations for up to 30 days or until normal functions can be resumed
- Take maximum advantage of existing infrastructures by collaborating with other internal and external partners to share or access services, resources, equipment, and systems
- Funded to the level required to sustain operations for 30 days
- Provided for initial and continued staff training
- Exercised regularly

Key Elements which have been included in this Plan and individual Office/Department level plans include those in the figure below.

***Elements of a COOP Program***



## COOP PLAN MAINTENANCE

The Bannock County COOP Plan maintenance process includes a schedule for annually reviewing and evaluating the programmatic outcomes called for in the Plan, and for producing a Plan revision every five years.

### FORMAL REVIEW PROCESS

Individual Office/Department Level Plans will be reviewed on an annual basis by the appropriate Elected Official and/or the Department Head. Individual Plans will be updated as necessary based on the annual review and lessons learned through the TT&E process. The Bannock County COOP Planning Team will review the Base Plan annually and will conduct a formal review every five years to determine the effectiveness of programs and to reflect changes that may affect essential function priorities. The Manager of the Office of Emergency Management or designee will be responsible for contacting the COOP Manager and the COOP Planning Team members and organizing the review. Team members will be responsible for monitoring and evaluating the progress of the COOP strategies in the Plan. The Committee will review the overarching objectives of the Plan to determine their relevance to changing situations in the County as well as changes in Federal policy, and to insure that they address current and expected conditions.

## COOP INTERDEPENDENCIES – VITAL PARTNERSHIPS

COOP planning is not approached in isolation. Each Elected Official recognized that effective COOP Planning often depends on other offices or departments, internal and external to Bannock County Government, which must be relied upon to help in the delivery of Essential Functions.

These organizations are categorized as:

- Internal Vital Partners (Bannock County Government Offices or Departments/Divisions)
- External Vital Partners (non-county entities)

These Vital Partners may be counted on for a myriad of support during COOP operations. A few representative examples may include:

- Temporary staffing assistance
- Temporary use of equipment (vehicles, computers, office equip., etc.)
- Temporary use of systems such as internet, telecom, radios, etc.
- Temporary use of facilities

## SUPPORTING PLANS

This Plan may be activated in conjunction with the:

- Bannock County Emergency Operations Plan.
- Existing agreements and plans that the County as an entity or individual departments may have with external partners will remain in effect.

The Continuity of Operations risk assessment is based on the Bannock County All Hazard Mitigation Plan's hazardous analysis published in October 2009.

## ESSENTIAL FUNCTIONS

All Bannock County Elected Officials and Department Heads recognize that the entire spectrum of essential functions might not be performed or needed in the immediate aftermath of an emergency. Indeed, in a crisis, resources may be scarce. Allocating resources based on sound planning helps to ensure that the delivery of essential functions and services will remain

Key: **Essential Functions** are those functions that enable an organization to:

1. Maintain the **Safety** of the General Public
2. Provide vital services
3. Those required by Law
4. Sustain the industrial and economic base

uninterrupted across a wide range of potential emergencies and provides a mechanism for the resumption of all functions as resources become available.

The identification of essential functions focused on defining the activities an office/department conducts to accomplish its mission and serve its stakeholders. It is critical to recognize the difference between essential functions and the tasks that support them. While these tasks are not included on the list of essential functions, it is important to identify them for ensuring the capability to implement essential functions. Identification of these essential functions and supporting tasks will be beneficial in implementing COOP programs and reconstitution plans after a future event.

## APPROACH TO FUNCTION PRIORITIZATION

To support its continuity of operations program, Bannock County has established a Prioritization Approach to categorize essential functions.

The essential functions are prioritized by the minimal times required to resume Operational Status.

Essential Functions have been prioritized using the following criteria:

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

Below is prioritization scheme for essential functions.

Key: Essential Functions are **prioritized** according to:

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

<b>FUNCTION CRITICALITY</b>	<b>MUST REACH OPERATIONS STATUS WITHIN:</b>
Priority 1	12 hours after COOP Activation
Priority 2	48 hours after COOP Activation
Priority 3	1 week following COOP Activation
Priority 4	2 weeks following COOP Activation
Priority 5	30 days following COOP Activation

Some departments may have no Priority 1 level essential functions while another's essential functions may all be Priority 1.

The worksheets in Appendix 1 were used to determine essential functions and their priority levels.

## **RISK MANAGEMENT**

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

The Bannock County Continuity of Operations Risk Management program is based on the risk assessment conducted by the Bannock County Office of Emergency Management during the development of the 2009 Bannock County Multi-Jurisdiction All Hazard Mitigation Plan.

The 2009 Bannock County Multi-Jurisdiction All Hazard Mitigation Plan addressed the following natural hazards:

- Drought
- Extreme Heat
- Extreme Cold
- Severe Winter Storm
- Lightning
- Hail
- Tornado
- Straight Line Wind
- Flash Flood
- River Flooding
- Dam Failure
- Landslide/Mudslide
- Wildfire
- Biological

And the following technological (manmade) hazards:

- Structural Fire
- Nuclear Event
- Hazardous Materials Event
- Riot/Demonstration/Civil Disorder
- Terrorism

The table below illustrates the severity ranking for the hazards as determined by the risk assessment process. Additional hazard specific information can be found in the Bannock County Multi-Jurisdiction All Hazard Mitigation Plan located on the Office of Emergency Management website at <http://www.whispermountain.net/BannockCountyAHMP.pdf>

### BANNOCK COUNTY RISK ASSESSMENT CHART

Hazard	Historical Occurrence	Probability	Vulnerability	Spatial Extent	Magnitude	Total	Rank
Severe Winter Storms	3	4	3	4	3	17	H
Drought	2	4	4	4	3	17	H
Wildfire	3	4	3	3	4	17	H
River Flooding	3	4	2	3	4	16	H
Hazardous Matertials	3	4	3	3	2	15	H
Severe Weather	3	4	2	3	3	15	H
Communicable Disease	1	2	3	4	4	14	M
Flash Flooding	3	4	2	3	2	14	M
Terrorism	0	1	4	3	4	12	M
Earthquake	2	2	2	3	3	12	M
Structure Fire	3	4	1	1	2	11	M
Landisdes/Mudslides	3	4	2	1	1	11	M
Burrowing Rodents	1	4	1	1	2	9	L
Vector Borne Disease	1	1	2	2	2	8	L
Civil Disobedience	1	1	2	1	2	7	L
Dam Failure	0	1	2	2	2	7	L
Snow Avalanches	1	2	1	1	1	6	L
Nuclear	0	1	1	2	2	6	L

COOP Planning has included an analysis of the location of the essential function geographically compared to the hazards as presented above. Individual organizations are affected very differently based on their location and the design of the facility in which they are housed. For example, facilities located near a hazardous materials storage facility have a high potential to be affected by a release from that facility than those at a differing location.

## **BUDGETING AND ACQUISITION OF RESOURCES**

The continuous performance of essential functions must be guaranteed with the right people and the right resources. To support and maintain effective COOP programs, the appropriate resources, personnel, communications, facilities, equipment, infrastructure, and transportation must be acquired and set in place. Bannock County Elected Officials and Department Heads will make every effort to provide COOP funding for their offices/departments. When developing COOP budgets or making acquisition decisions, Bannock County Officials must consider costs related to the following:

- The provision of time and resources for the COOP Planning Team to develop and maintain COOP plans and procedures
- Identifying and assessing hazards and threats, including risk analyses, and develop risk mitigation actions
- Locating and acquiring COOP facilities (i.e., lease, purchase, sharing of premises)
- Establishing Memoranda of Agreement or Memoranda of Understanding in sharing COOP locations with other organizations
- Locating and acquiring equipment, services, and technology to support COOP communications
- Developing and conducting training, testing, and exercise activities
- The provision of security systems and services, and emergency transportation of COOP personnel

Decisions about acceptable and unacceptable levels of risk drive the distribution of funds. In allocating resources to reduce risk, Bannock County Elected Officials and Department Heads must consider the following when making budget allocations:

- Integrating budgets with the COOP Improvement Plan; linking budgets directly to the Plan's objectives and metrics
- Acquiring COOP resources on an emergency basis

Effective budgeting helps organizations provide critical COOP resources necessary to continue performing essential functions before, during, and after a COOP event.

## **CONTINUITY OF OPERATIONS PLANNING ORGANIZATION**

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

### **ROLES AND RESPONSIBILITIES**

Bannock County elected and appointed officials play an integral role in determining and supporting the needs of the general public, and ensuring the continuation of essential services on a daily basis (e.g., police and fire services, emergency medical services). Bannock County entities will work with their local, Tribal, State, and Federal partners and the private sector in developing and coordinating COOP plans. This coordination helps facilitate the resourcing and allocation of resources for COOP operations and the procurement of emergency response equipment, as appropriate. The following responsibilities are assigned to the Bannock County leadership of designated entities listed below:

#### **ELECTED OFFICIALS**

- Ensure that COOP programs are appropriately resourced/funded
- Appoint a COOP Manager
- Serve as a member of the COOP Management Team
- Appoint a COOP Planning Team that encompasses all offices and departments within County Government
- Approve the final plans and policies developed by the COOP Planning Team

#### **DEPARTMENT HEADS**

Department Heads are directly responsible for ensuring that COOP plans and programs are developed, coordinated, exercised, and capable of being implemented when required. Specific responsibilities include:

1. Designate a COOP Coordinator, as appropriate for their organization
2. Approve all required COOP plans and procedures.
3. Notify appropriate offices and organizations upon execution of COOP Plans.
4. Support the work of the COOP Coordinator for their organization, including providing necessary budgetary and other resources to support the COOP program as required.

#### **COOP MANAGER**

The COOP Manager coordinates the overall activities of COOP operations for Bannock County. During COOP activation, the COOP Manager receives daily status reports on COOP activities and serves as a Liaison between the Senior Leadership and the Bannock County Emergency Operations Center and those organizations that are in COOP Operations.

The COOP Manager works closely with the Manager of the Bannock County Office of Emergency Management and individual office/department COOP coordinators to ensure that COOP Plans are kept up to date and that training and exercises occur annually.

## **COOP COORDINATORS**

Regardless of organizational or jurisdictional level, general responsibilities of the COOP Coordinator include:

1. Upon a COOP Activation, coordinate COOP activities through submittal of daily continuity of operations status reports to the COOP Manager
2. Facilitate the Office/Department level COOP planning
3. Direct and participate in periodic cross-departmental COOP exercises
4. Establish organizational level plans, procedures, and protocols to achieve COOP objectives
5. Develop and maintain the office/department's COOP Plan
6. Develop and administrate a COOP budget and submit funding requirements to the office/department head
7. Serve as an advocate for the COOP Program

## **COOP PLANNING TEAM**

The Bannock County COOP Planning Team, which consists of the office/department COOP Coordinators, coordinates continuity planning and duties for Bannock County. The Team gathers and assesses information on COOP resources and internal capabilities, along with capabilities to integrate with internal and external partners to deliver essential functions. Part of assessing the limits and potential of the County's COOP capability is for the team to coordinate COOP exercises, evaluate results, and maintain the COOP program.

## **PERSONNEL**

The fundamental foundation of COOP is personal responsibility and readiness. Individuals understand their roles and responsibilities within the respective office/department and are committed to their duties in a COOP environment. Individuals understand and are willing to perform in these situations to ensure an office/department can continue its essential functions.

Individual County personnel are responsible for understanding and performing their particular COOP role and responsibilities in COOP situations. This includes ensuring that their own personal and professional needs are prepared for, along with those of their families'.

## **BANNOCK COUNTY COOP CONCEPT OF OPERATIONS**

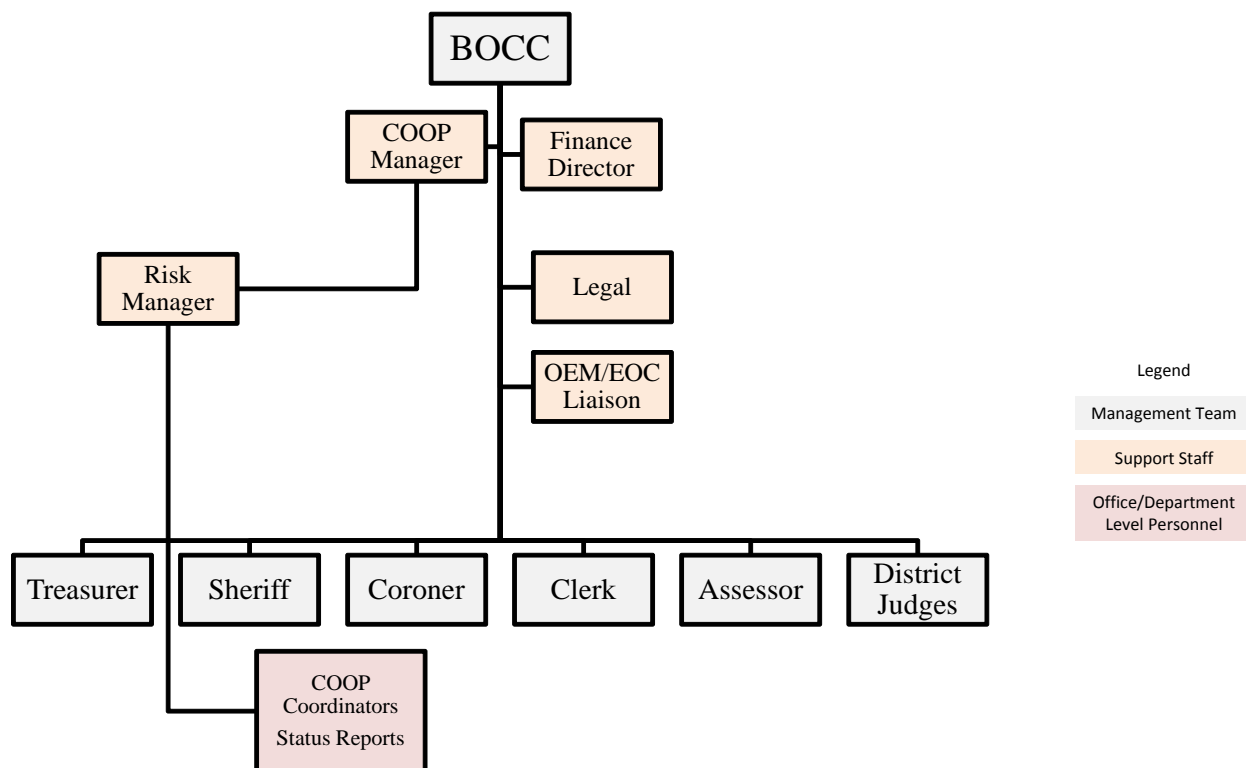
Conditions likely to lead to the activation of the COOP include: loss of critical infrastructure, loss of a significant portion of the workforce, or the loss of viable facilities. Continuity operation's success hinges on the effective pre-planned realignment of resources away from the County's *lower priority* functions and assigning them to *higher priority* essential functions in order to overcome the types of challenges outlined above.

Bannock County, as a whole, will enter into COOP operations through the decision of the Board of County Commissioners. Individual Offices or Departments can enter into COOP operations through the decision of the Elected Official or Department Head.

The decision by an Elected Official or Department Head to activate COOP is made in consultation with the Board of County Commissioners except in those circumstances where time will not permit consultation to take place. If it is determined that the County can provide prioritized essential functions while remaining under "normal" operations, then there may be no need to activate the COOP. If it is determined that the County's capacity to meet the threat has been significantly diminished based on a degradation of essential resources, then activating the COOP should be considered and resources realigned in accordance with the Plan. It may be decided that a portion of the County Government needs to enter COOP operations with great urgency, while other functional areas will remain under normal operations and be phased into COOP operations if and when it becomes necessary.

When Bannock County activates a COOP Plan at any level, a COOP Management Team will form and meet daily to discuss COOP operations status and to prioritize the deployment of resources to support the activation. The COOP Management Team will assemble under the direction of the Bannock County Board of County Commissioners and with appropriate Elected Officials and support staff. The figure below illustrates the COOP Management Team. The Management Team will interface with the Bannock County Emergency Operations Center (EOC) command staff, but will not replace the EOC Command Staff. The purpose of the Management Team is to receive status reports the COOP Manager gathered from the individual Office/Department level COOP Coordinators that are in a COOP situation. The time and place of the daily meeting will be established by the COOP Manager in consultation with the Board of County Commissioners and other Elected Officials.

### BANNOCK COUNTY COOP MANAGEMENT TEAM

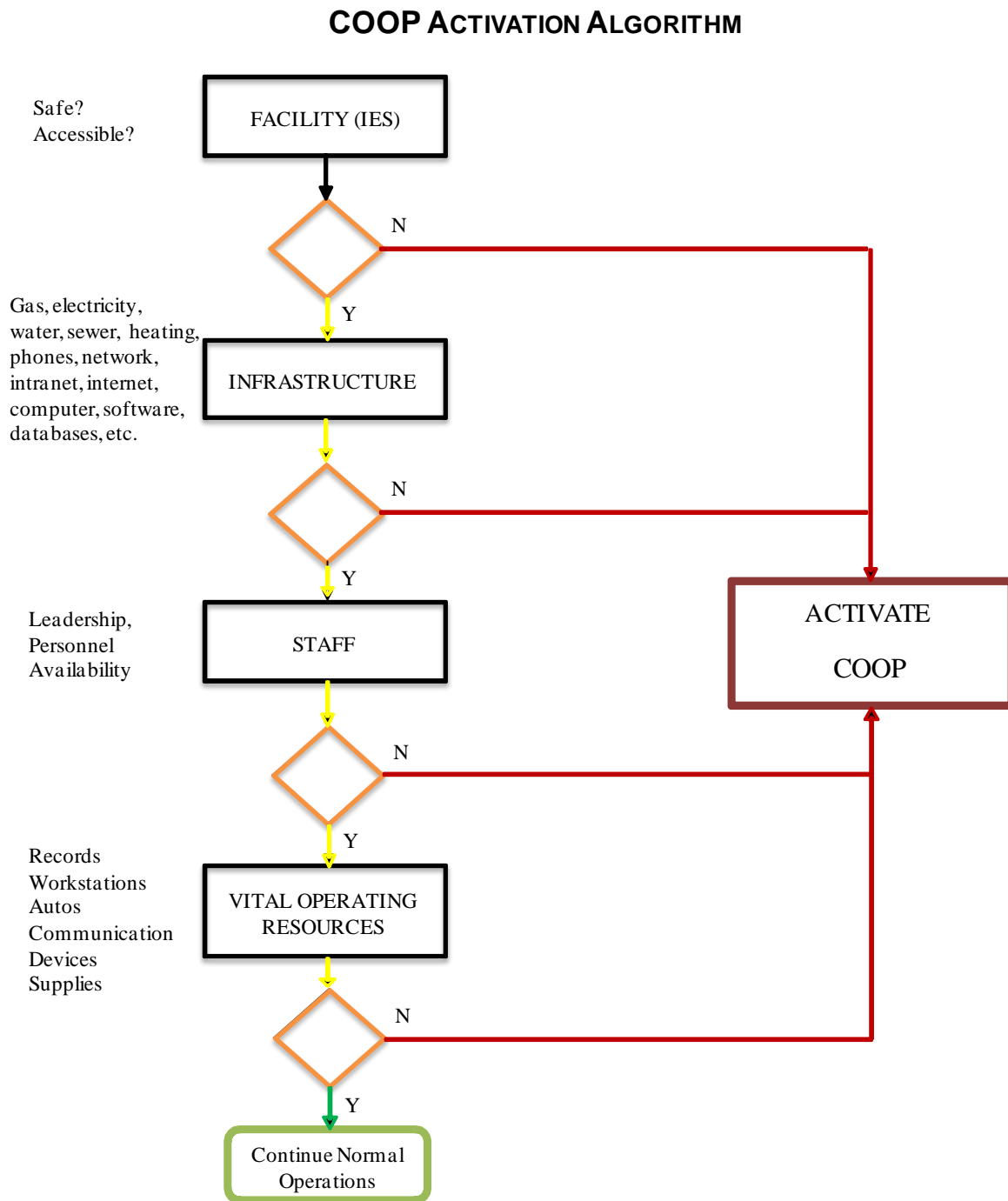


The Bannock County Risk Manager will be responsible to receive and coordinate all status reports from the individual departments and supply this information to the COOP Manager. The duties of the Risk Manager are as follows:

1. “Roll Up” all status reports
2. Evaluate reports for shortfalls/deficits
3. Prepare proposed Action Plan to “fill gaps”
4. Provide Action Plan to Finance and Legal to evaluate and to make recommendations
5. Present Plans to COOP Management Team for approval
6. Facilitate Action Plan execution upon approval

## COOP ACTIVATION DECISION TREE

The decision to activate COOP in Bannock County is based on the algorithm presented below:



To aid in activation, Bannock County has developed specific **COOP Operations** Procedures or Protocols for essential staff which identify:

- How to relocate to the COOP facility
- What to bring, including staff, equipment, records, etc.
- How to establish telecommunications and IT network capabilities
- Who to report to upon arrival
- How to orientate staff to the facility
- How to perform essential roles (if different than normal day to day assignments)

COOP Procedures and Protocols for non-essential staff identify:

- How to report to their status and location
- Who to report to
- How often and where to check in
- How to gain information on the organization's situation including how to stay informed
- How they will be notified to return to work

Bannock County's employees are the County's most valuable asset. COOP procedures provide measures for protection and accounting for personnel – where they are and how they are in relation to the emergency situation driving the COOP activation. In addition to procedures for accounting for presence of personnel, procedures are established to identify missing personnel and how to gain assistance to locate them and ensure their safety.

Bannock County personnel assigned to essential functions are directed where to report and receive assignments. In the event of a countywide COOP activation, a reception center will be identified based on the situation, to receive personnel and deploy them to their assigned work locations. The reception center provides the following:

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

The individual organizations are responsible to determine when they are ready to establish operations at the alternate facilities. To determine if they are in a position to begin operations, the deployed staff:

- Assess the availability and functionality of necessary equipment, resources, and systems, and,
- Verify the levels of available personnel at the site, or,

- Identify what is lacking in order to begin, and weigh how close they are to commencing essential operations.

Individual Organizations in Bannock County have developed checklists to facilitate a preliminary inventory of necessary items, resources, and personnel at the COOP facility to swiftly discern the office/department level of readiness to engage in COOP operations.

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

General reconstitution procedures and protocols are included in the individual Office/Department COOP Plans; however, reconstitution plans are coordinated with County recovery plans. All personnel are informed when the need for COOP operations has ended and provided with instructions on resuming normal operations, including where and when to go to work by the COOP Management Team.

In **reconstitution**, efforts are made to salvage, restore, and recover the primary worksite. Should an assessment of the primary facility reveal extensive damage beyond repair, arrangements are made with the Bannock County Board of County Commissioners to procure a new facility.

Due to the complexity in returning to a primary facility, a reconstitution manager is designated to oversee the move. The reconstitution manager or designee

## KEY: CONTINUITY PLAN OPERATIONAL PHASES

To prepare for all hazard events Bannock County has developed COOP Plans and Procedures which address the following four phases of continuity operations:

1. Readiness and preparedness
2. Activation and relocation
3. Continuity Operations
4. Reconstitution

Each phase is briefly described below:

### PHASE I: READINESS AND PREPAREDNESS

Readiness is the ability of Governments to respond to a disruptive incident or event with little or no warning. To be prepared, Bannock County Offices and Departments have developed viable COOP programs that, when implemented, should provide for the continued performance of essential functions, and integrates with governments and the private sector, when appropriate.

Within the Bannock County COOP program, COOP plans and procedures provide the necessary instructions and guidance for County personnel to take action to respond to a crisis. The Bannock County COOP Base Plan is a roadmap for implementing and managing the COOP.

### PHASE II: ACTIVATION AND RELOCATION

The activation and relocation phase covers the period just after the disaster occurs through the first 12 hours of notifying all personnel and when needed relocating operations to alternate facilities. The diversity of emergencies that could affect and disrupt Bannock County operations requires offices/departments to have activation and relocation procedures in place to instruct personnel on when and how to respond to the emergency and the potential COOP situation.

### PHASE III: CONTINUITY OPERATIONS

The continuity of operations phase covers the period from 12 hours after activation up to 30 days while essential functions are being conducted. Once the COOP Plan has been activated and all personnel have been notified of their roles and responsibilities, individual offices and departments will deploy assigned staff and commence continuity operations to deliver essential functions; non essential staff, depending on the situation could be sheltered in place, sent home, or assigned to other supporting functions in another office or department.

### PHASE IV: RECONSTITUTION

Reconstitution of normal operations is initiated immediately after the emergency event concludes. Reconstitution is the process of terminating COOP operations and returning to normal operations. This may or may not involve deactivating at alternate facilities and returning equipment, records, and personnel to the original or a replacement primary site, and resuming normal operations.

coordinates and supervises the orderly transition of all functions, personnel, equipment, systems, and records from the alternate facility to the new, temporary, or restored site. Prior to returning a building inspection including a security, safety, and health assessment will be conducted on the site to assure its suitability.

Reconstitution activities should include, but are not limited to, the following:

- Notification of all personnel that the threat or emergency no longer exists, and how, where, and when to resume normal operations
- Assessing the status of affected facilities and overseeing repairs or acquisition of a new facility
- Supervising the transition of operations to restored or new facilities
- Verifying all systems, (IT, mail service, security, etc.) communications (voice and data) and resources (equipment, databases, personnel, etc.) are available and are in a condition to resume all functions
- Identifying which, (if any) records were affected by the emergency, and work toward recovery of all records, vital and non-vital

#### **COOP AFTER ACTION REVIEW**

A comprehensive after-action review is conducted following reconstitution to identify the strengths and weaknesses of the COOP Plan. Lessons learned are documented in the COOP Improvement Plan (CIP) and incorporated into subsequent revisions of the appropriate level COOP Plan.

## ORDERS OF SUCCESSION

To remain effective in COOP operations, each key position in the COOP Plan identifies an order of succession. To establish orders of succession, Bannock County organizations have identified **at a minimum** the key positions responsible for and authorized to facilitate all Priority 1 and 2 Essential Functions.

Additionally each Bannock County Office and Department has identified suitable substitute personnel who are competent and willing to assume a key position should one become vacant. Lines of succession should be established in accordance with applicable law. Although the same successor may be named in different key functions, designating the same successor as the “first” successor to several key functions should be avoided where ever possible.

Example:

Priority 1 Functions	Primary	1 <sup>st</sup> Alternate	2 <sup>nd</sup> Alternative
Ensure Pocatello Airport runways are open.	Airport Director	Operations Supervisor	Sr. Operations Specialist

When identifying and selecting key successors, the Bannock County Organizations have considered the candidate’s qualifications to perform the key position as well as the disposition and aptitude for handling the role; for example, are they able to work under pressure? All lines of succession are at least three positions deep where possible.

The geographic location and proximity of successor positions have also been considered when assigning orders of succession.

Bannock County organizations have developed orders of succession using the following criteria:

- Establish a line of succession for the highest position of authority, with a designated official available to act as head until properly appointed
- Establish lines of succession for the key positions that perform Priority 1 Essential Functions
- Describe by position or title and not by the names of the individuals (different individuals may move through a single position, but positions tend to stay the same)
- Use rules and procedures to guide the succession of leadership, including the conditions under which succession takes place, method of notification, any limitations of authority, and the conditions under which the authority will be returned
- Succession documentation is included with the vital records and accessible at alternate COOP sites, and is distributed promptly when changes occur
- Ensure that successors of leadership are properly informed and trained
- Establish rosters of trained personnel with the authority to perform essential functions and activities

## DELEGATIONS OF AUTHORITY

Authority to make decisions and activate COOP activities in Bannock County is delegated to alternate staff members when primary persons are unable to fulfill their duties. In Bannock County the Delegation of Authority includes the following key components:

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

*Key: It may be necessary to consult with legal counsel when determining delegation of administrative authority, as statutory or constitutional law may limit the scope of this kind of authority.*

Delegations of authority may be, for emergency or administrative decision making, as illustrated below:

Emergency Authority	Administrative Authority
<ul style="list-style-type: none"> <li>✓ The ability to make decisions related to an emergency, such as deciding whether to activate a COOP Plan, or deciding whether to evacuate a building.</li> </ul>	<ul style="list-style-type: none"> <li>✓ The ability to make decisions affecting operations beyond the duration of an emergency, and as such, does not have a built-in expiration date.</li> <li>✓ Administrative authority involves following policies, such as hiring and dismissing staff, and allocating fiscal and non-monetary resources.</li> <li>✓ Administrative authority has constraints/limitations such as cannot disburse funds without a 2<sup>nd</sup> signature, may not issue citations, etc.</li> </ul>

Personnel who have been delegated authority are advised of:

- The conditions or events that will trigger delegation of authority
- The limitations of their authority
- How they will assume authority

- How long they will retain authority
- How staff will be notified of the delegation

## DEVOLUTION OF CONTROL AND DIRECTION

Devolution planning in Bannock County supports overall COOP planning and addresses the full spectrum of threats and all-hazards emergency events that may render an office or department's staff unavailable to support, or incapable of supporting, the execution of essential functions from

*Key: **Devolution** is the capability to transfer statutory authority and responsibility for essential functions from an organization's primary operating staff and facilities to other organization employees and facilities, and to sustain that operational capability for an extended period.*

*An **example** of Devolution Planning might include transfer of dispatch services from the Bannock County 911 system to the City of Pocatello 911 system; another example would be the redirection of flights from the Pocatello Airport to the Idaho Falls Airport.*

either its primary location or its alternate location(s). Bannock County utilizes a devolution option for continuity, when allowed by law, addressing how they identify and conduct their priority essential functions during an increased threat situation or in the aftermath of a catastrophic emergency. If devolution is not permitted by law or does not make logical sense, Bannock County Organizations so state in their respective COOP Plans and reference criteria used in making that planning decision.

Devolution protocols have been developed to reinforce the Bannock County COOP program. They are structured to continue essential functions. Devolution of operations protocols are outlined in the individual Bannock County Office or Department level COOP Plans and include the following attributes:

- Priority 1 Essential Functions have been identified including the critical resources needed to facilitate their immediate transfer to a devolution site or agency.
- Rosters of pre-identified points-of-contact (POC) at the devolution site or agency, and trained personnel who will perform essential functions when devolution is enacted have been developed.
- A set of "triggers" that initiate or activate the devolution protocol has been identified.
- Instructions have been developed on how essential functions are transferred to a devolution site or agency, including how and when.
- Necessary resources (people, equipment, and materials) to perform the essential functions at the devolution sites have been identified and documented.
- Protocols to acquire resources to sustain operations for extended periods have been established.
- Procedures to restore or repair operations to their pre-emergency condition have been created.

## HUMAN CAPITAL

Developing, activating, and facilitating COOP programs rest on the management of human capital. In a COOP context, human capital is the sum of energy, knowledge, and skills invested in efforts to prepare for, respond to, and recover from emergencies.

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

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

Irrespective of their personnel status in the COOP Plan, all Bannock County staff are provided with clear instructions on their requirements in a COOP situation. In developing individual Office and Department COOP Plans, Bannock County Elected Officials and Department Heads have:

- Identified employees who demonstrate potential for handling COOP activities, assigned them to COOP roles and responsibilities, and provided them the necessary training to perform the tasks
- Provided direction to COOP personnel on office or departmental emergency preparedness measures, such as personal readiness kits or family emergency planning
- Established processes for communicating the office or department's operating status – if it is open or closed for business
- Established processes for contacting and accounting for all personnel in the event of an emergency
- Identified COOP Coordinator to liaise with the Bannock County Human Resource Director and Manager of Emergency Management when developing COOP Programs
- Established processes for communicating and disseminating information to all personnel on human-specific issues, such as pay, leave, staffing benefits, and other human resource issues

To promote readiness, organizations in Bannock County Government have considered how an emergency would affect individuals and their family. Bannock County Organizations have developed, as part of their individual COOP Plans, the following considerations:

- Accountability procedures to know each employee's status
- Means to keep employees informed
- How to develop a family emergency plan

- Provide of information to employees regarding family support services at or near the alternate facility

## **HUMAN RESOURCE COOP POLICIES**

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

- Dismissal & Closure Procedures
- Annual Leave, Sick Leave, and Family Medical Leave
- Evacuation Payments
- Staffing Flexibilities
- Fitness for Duty Policy
- Benefit Issues

The Bannock County Human Resources/Risk Management Department has developed policies which address each of these topics as well as other topics which may be germane to COOP operations. Bannock County Office and Department level COOP Plans have adopted these policies by reference. Individual organizations may have policies that meet specific operational needs; however, those policies meet, as a minimum, the policies as outlined in the Bannock County Human Resources Policies.

## **COOP COMMUNICATIONS (INTERNAL AND EXTERNAL)**

Facilitating and implementing COOP operations relies on the availability and serviceability of communications and information technology (IT). Bannock County COOP communications protocols are based on existing and established communications systems, including the County owned and operated 700 MHz radio system, licensed VHF/UHF radios, amateur radio, the county owned telephone system, cellular phones and the County IT network. The COOP Communications system enables internal personnel to stay connected, and for personnel to connect with external partners to collaborate on delivering services to sustain essential functions.

Preventive controls have been implemented to minimize the risk of disruption to communications systems. Examples of preventive controls include uninterruptible power supplies, fire and smoke detectors, etc. When preventive controls fail, alternate providers and/or modes of communications must be determined by the individual organizations to replace non-functioning primary communications systems. Examples could include using cellular phones, radios, voice over internet protocol (VOIP), satellite phones or courier(s).

Compatibility of communications systems and equipment has been considered in Bannock County when establishing interoperable communications systems. Communications systems and equipment are designed to enable COOP personnel to communicate with each other, external personnel, external agencies, and the public.

The primary mean of COOP communications is the County owned telephone system. When that system is not available, County owned cellular phones are used (the Government Emergency Telecommunications Service or GETS Card may be used for priority communications during an emergency event), and also, county owned 700 MHz trunked radios. A cache of 700 MHz

trunked radios is located at the County Dispatch Center. To use the radios and to program a specific organization talk group, organizations may contact 911 Dispatch Center.

Each individual office or department's COOP Plan is designed to sustain continuity of communications and addresses the following:

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

## **COOP FACILITIES**

Bannock County Organizations who provide essential services have made provisions for relocating to an alternate COOP facility in the event the primary site is severely damaged or inoperable. COOP facilities provide alternate locations and resources for reestablishing and continuing governmental operations. Establishing alternate COOP facilities often, but not always, involves the relocation of operations to an external site, revising how an existing site is used, or utilizing virtual office resources such as telecommuting.

### **COOP FACILITY OPTIONS**

A number of possible COOP scenarios have been examined which require several alternate facilities to be chosen and county operations spread out over multiple sites. This will, in all likelihood, be the case if the Bannock County Administration building is not available. Depending on the circumstances, COOP facilities can be located as follows:

- Existing Space - remote or offsite training facilities or jurisdictional field offices
- Virtual Offices - working from home or telecommuting facilities, or mobile offices

- Co-locations of a site - space in another organization's facility, space procured and maintained for another organization, space in a site jointly acquired with another organization, or space in a combination of facilities.

For the purpose of COOP Planning in Bannock County, alternate spaces should be able to connect to either the County's network or be able to connect to the County's network via the County's virtual private network (VPN) service through a local internet provider.

The following criteria have been used to select Bannock County COOP sites:

- COOP facilities are located in an area that will minimize disruptions
- An all-hazards assessment has been conducted to assess the hazard posed to the facility
- Sites are located sufficiently distanced from the office or department's primary facility and from areas prone to threats or disruptions
- Sites are selected that have access to essential support services and resources, such as water, sanitary systems, heating, power, transportation access, etc.

The amount of space required to support the COOP operations needs has been predetermined, and the site selected to accommodate that need. Where space is shared or co-owned or leased with an internal or external partner, MOAs or MOUs have been prepared that specify:

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

Other issues that have been considered in choosing a COOP site included:

- Billeting – the location may need to consider housing requirements to support COOP personnel at or near the COOP site (i.e., accommodations within the site, or staying at motels, or the home of other COOP personnel)
- Preparation – how well prepared or maintained a COOP facility is could affect how quickly and efficiently essential functions are resumed in a COOP situation; the COOP facility may be one of the following sites:
  - Hot Site – a facility that is well resourced and serviced, and ready to commence COOP
  - Warm Site – a facility that is partially resourced and serviced, and requires more provisions before a COOP can be implemented
- Communications – needs to have access to adequate and efficient communications within the COOP facility – (See COOP communications requirements above)
- Security – COOP facilities have suitable levels of physical and information security to protect against threats, as identified in the risk assessment; technologies that control the site access and conduct site surveillance have also been considered

## VITAL RECORDS

Bannock County Organizations have determined which records are vital in supporting essential functions and have established methods of ensuring these records are available and accessible during a COOP situation. Vital records fall under three basic descriptions:

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

*Key: Vital Records refer to information systems and applications, electronic and hardcopy documents, references, and records necessary to sustain essential functions during a continuity situation.*

In identifying vital records, Bannock County Organizations have first identified those records that if damaged or destroyed, would disrupt essential functions and the flow of information, causing considerable inconvenience and jeopardizing operations.

Vital Records are, in most cases, stored off-site in case the primary site is damaged. The Bannock County IT Department has an active vital records protection program. Bannock County Vital Records which have been moved to electronic media are backed up and stored offsite. The primary function of the IT Department's Program is to protect the "intellectual" data assets of the County. Bannock County Organizations should identify vital records in the COOP process that should be transferred to electronic media and included in the IT Department's protection program.

Each Bannock County Office and Department should develop a vital records management program in support of their respective individual department COOP Plan. The program should include the following elements:

- Vital Records have been identified and procedures and measures for preserving, protecting, accessing, and recovery of them (if lost or damaged) have been developed
- Multiple forms of media storage for vital records are used taking into account special protection needs and equipment required to access records for different types of media
- Provisions for COOP personnel to use the chosen media, such as local area network, electronic or hardcopy files, support information systems, internet or external email to access vital records have been considered; locations of and accessibility codes/procedures for vital records should be established
- A listing of vital records at COOP facilities, including a list of key emergency personnel and contact numbers, a complete inventory of vital records containing precise locations of records, keys or access codes, and instructions on how to access

the vital records, a list of recovery experts or vendors, and a copy of the COOP Plan should be developed

- Risk assessments on the security of vital records and databases have been conducted to identify and determine where and how best to store vital records
- Measures for securing classified or sensitive data should be established
- Personnel have been trained in identifying, inventorying, storing, accessing, and maintaining vital records
- Ensure vital records are updated

The following table details the electronic Vital Records used by County departments/offices and how they are backed up.

Vital Record or Database	Backup (if any)
Sheriff's Servers & Databases	Tape backup weekly – Stored as Sheriff's Office
I-Stars Database	State of Idaho
Accounting and Financial Databases	Weekly backup to Old Newberry Building
All Databases	Backed up Monthly to Denver

## TEST, TRAINING AND EXERCISE (TT&E) PROGRAM

An effective TT&E program is necessary to assist organizations to prepare and validate Bannock County COOP Offices and Department's capabilities to perform essential functions during any COOP situation. This required the identification, training, and preparedness of personnel capable of performing their COOP responsibilities and implementing procedures to support the continuation of office/department's essential functions.

Training provides the skills and familiarizes leadership and staff with the procedures and tasks they should perform in executing COOP Plans. Tests and exercises serve to assess and validate all the components of COOP plans, policies, protocols procedures, systems, and facilities used to respond to and recover from a COOP situation, and identify issues for subsequent improvement. All Bannock County Organizations are required to annually plan, conduct, and document tests, training, and exercises to prepare for all-hazards COOP situations, identify deficiencies, and demonstrate the viability of their COOP plans and programs. Deficiencies, actions to correct them, and a timeline for remedy is documented in the individual office or department's Continuity Improvement Plan (CIP) with a copy of that Plan provided annually to the Manager of the Office of Emergency Management.

By documenting the outcomes of the TT&E activities, Bannock County Organizations are able to review results, identify deficiencies in the COOP program, and implement corrective actions to alter and improve plans and procedures. Documented results also provide a basis to verify the office/departments COOP viability, thus meeting its mission.

The Bannock County TT&E program is designed to:

- Communicate objectives, expectations, and standards for all phases of COOP operations
- Improve coordination and compatibility of COOP efforts between and with internal and external partners

- Establish a framework of performance criteria to measure and evaluate progress and achievement of COOP program goals and objectives as stated herein
- Deliver training and assess COOP requirements annually
- Identify best practices throughout the entire County office/departments to integrate corrective actions maintaining compatibility
- Test the viability of communications systems and alert, notification, and activation procedures
- Provide input into the development of county-wide correction action plans
- Provide justification for budget requests

As all Bannock County Organizations have a requirement to conduct training, testing, and exercises of their respective COOP Plans and procedures, the following TT&E Guidelines have been developed for the entire County COOP Program. Individual organizations reference these TT&E Guidelines in their individual COOP Plans and the following of these guidelines meets the annual requirements set forth in this Base Plan for COOP testing, training, and exercising. Reporting the fulfillment of the annual TT&E requirements is made to the Manager of the Bannock County Office of Emergency Management at the end of each fiscal year.

## TESTING

Bannock County COOP testing is conducted against a specific set of considerations and metrics listed in the table below. Elected Officials and Department Heads use this table to:

1. Initially review and approve their respective COOP Plan
2. Conduct annual assessments or tests to determine required revisions to their COOP Plans
3. Develop training and exercise objectives

### COOP CONSIDERATIONS AND METRICS<sup>1</sup>

COOP Requirements		Key Questions	Metrics	Y or N
1	The continuation of the performance of essential functions during any emergency should be for a period up to 30 days, or until normal operations can be resumed, and the capability to be fully operational at alternate sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after COOP activation;	<ul style="list-style-type: none"> <li>• Is your organization able to perform your current essential functions during any emergency and for up to 30 days or resumption of normal operations?</li> <li>• Is your organization able to be fully operational at an alternate site within 12 hours of COOP activation?</li> </ul>	<ul style="list-style-type: none"> <li>• Measure ability to perform essential functions through test, training, and exercise, identifying gaps and solutions.</li> <li>• Measure capability to be fully operational at a COOP site within 12 hours through test, training, and exercise, identifying gaps and solutions.</li> </ul>	

<sup>1</sup> CONTINUITY GUIDANCE CIRCULAR 1 (CGC 1), January 21, 2009

COOP Requirements		Key Questions	Metrics	Y or N
2	Succession orders and pre-planned devolution of authorities that ensure the emergency delegation of authority should be planned and documented in advance in accordance with applicable law;	<ul style="list-style-type: none"> <li>Does your organization have accessible and complete orders of succession familiar to successors?</li> <li>Does your organization have accessible and complete devolution of authorities known by those to whom they devolve?</li> </ul>	<ul style="list-style-type: none"> <li>Document and train on succession orders.</li> <li>Document and train on devolution of authorities.</li> </ul>	
3	Vital resources, facilities, and records should be safeguarded, and official access to them must be provided;	<ul style="list-style-type: none"> <li>Are your vital resources safeguarded?</li> <li>Are your facilities safeguarded?</li> <li>Are your records safeguarded?</li> <li>Will your COOP staff have official access to your vital resources, facilities, and records in an emergency?</li> </ul>	<ul style="list-style-type: none"> <li>Document measures to safeguard vital resources, facilities and records.</li> <li>Document measures taken to ensure official access to vital resources, facilities, and records.</li> </ul>	
4	Provision should be made for the acquisition of the resources necessary for COOP operations on an emergency basis;	<ul style="list-style-type: none"> <li>Have you identified emergency COOP resources?</li> <li>Do you have agreements/contracts to acquire emergency COOP resources?</li> </ul>	<ul style="list-style-type: none"> <li>Identify your emergency COOP resource requirements.</li> <li>Identify what agreements/contracts you have made to meet these requirements.</li> <li>Identify what additional agreements/contracts are needed</li> <li>Identify funding requirements</li> </ul>	
5	Provision should be made for the availability and redundancy of critical communications capabilities at alternate sites in order to support connectivity between and among key government leadership, internal elements, other executive departments and agencies, critical partners, and the public;	<ul style="list-style-type: none"> <li>Do you have critical communications capability at your alternate site(s)?</li> <li>Do you have redundant communications capability at your alternate site(s)?</li> </ul>	<ul style="list-style-type: none"> <li>Identify your current communications capability at your alternate site.</li> <li>Identify what communications capability is necessary.</li> <li>Identify the plan to improve communications at your alternate site in six months, one year, and two years.</li> </ul>	
6	Provision should be made for reconstitution capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations; and	<ul style="list-style-type: none"> <li>What is your plan for ensuring your division's reconstitution capability?</li> </ul>	<ul style="list-style-type: none"> <li>Identify your division's reconstitution capability plan.</li> </ul>	

	COOP Requirements	Key Questions	Metrics	Y or N
7	Provision should be made for the identification, training, and preparedness of personnel capable of relocating to COOP facilities to support the continuation of the performance of essential functions.	<ul style="list-style-type: none"> <li>Have you identified, trained, and prepared personnel to relocate to alternate sites to continue essential functions?</li> </ul>	<ul style="list-style-type: none"> <li>Verify that staff are identified, trained, and prepared to relocate to alternate sites.</li> </ul>	

## TRAINING

Training familiarizes COOP personnel with their procedures, tasks, roles, and responsibilities in executing an organization's essential functions in a COOP environment. Bannock County's Office or Department level training program includes:

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

Training prepares COOP personnel to respond to all COOP situations and ensure performance of the essential functions. These include interdependencies with internal and external partners. (Training may be conducted in concert with another office or department with similar

interdependencies.) As part of its training program, the office/department documents the training conducted, the date of training, those completing the training, and by whom.

The Federal Emergency Management Agency's Emergency Management Institute (EMI) and the University of Maryland offer several COOP courses both on campus and through the Independent study series that is free and available to the non-federal community. All Independent Study (IS) courses may be found at <http://training.fema.gov/is> and by selecting the ISP Course List. Bannock County COOP Coordinators and members of the COOP Planning Team may want to complete these courses. EMI offers the following COOP Independent Study courses listed below:

- Continuity of Operations (COOP) Awareness Course (IS 546) 1 Hour
- Introduction to Continuity of Operations (COOP) (IS 547) 5 Hours

## EXERCISES

Bannock County's COOP Exercise Program focuses primarily on evaluating capabilities or an element of a capability, such as a plan or policy, in a simulated situation. Bannock County Organizations work with the Office of Emergency Management to schedule and integrate exercises. The Idaho Bureau of Homeland Security's Northern Area Regional Training and Exercise Officer is available to assist in the development, coordination, and conduction of COOP Exercises in Bannock County.

Bannock County's COOP Exercise Program includes the following elements:

1. An opportunity for COOP personnel to demonstrate their familiarity with COOP plans and procedures, and to demonstrate their office/department's capability to continue its essential functions
2. Orders of succession/delegation of authority
3. An exercise that incorporates the *deliberate and preplanned movement* of COOP personnel to an alternative facility location
4. Communications capabilities and both inter- and intra-office/department level dependencies including a call out drill
5. An opportunity to demonstrate that backup data and records required supporting essential functions at COOP facilities or locations are sufficient, complete, and current
6. An opportunity for COOP personnel to demonstrate their familiarity with the reconstitution procedures to transition from a COOP environment to normal activities when appropriate
7. A comprehensive debriefing after each exercise, which allows participants to identify systemic strengths and weakness in plans and procedures and to recommend revisions to the office/department COOP Plan
8. Office/Departmental level participation: conducting and documenting annual assessments of their COOP Plans and programs
9. Based on the outcome of the exercise program, each Bannock County Office or Department should develop COOP Improvement Plan (CIP) to assist in

documenting, prioritizing, and resourcing COOP issues identified during Training, Testing, and Exercising (TT&E), assessments, and COOP operations; the purpose of CIP is to accomplish the following:

- a. Identify COOP deficiencies and other areas requiring improvement and provide responsibilities and a timeline for corrective action
- b. Identify program and other COOP funding requirements for submission to the respective Elected Officials or Department Heads
- c. Identify and incorporate efficient acquisition processes, and where appropriate, collect all inter-office/department requirements into one action

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## APPENDIX 1 ESSENTIAL FUNCTION WORKSHEETS

### WORKSHEET 1:

#### AREAS OF RESPONSIBILITY

Use the department's mission statement, values, goals and objectives, organization chart, and a brief review of department's operating procedures, rulebooks, and legal authorities to identify the department's general areas of responsibility.

Number	Area of Responsibility

## WORKSHEET 2:

### FUNCTIONS PERFORMED BY AREA OF RESPONSIBILITY

Complete Worksheet 2 for each area of responsibility identified in Worksheet 1. List the functions performed and provide a brief description of the activities typically performed in the identified function.

Responsibility:

Number	Functions Performed	Brief Description

## WORKSHEET 3:

### CRITERIA FOR SELECTING ESSENTIAL FUNCTIONS

Based on the review of emergency response plans, emergency operating procedures and brainstorming sessions among COOP team members, department employees and supporting emergency responders, identify criteria for selecting essential functions.

Number	Criteria

## WORKSHEET 4:

### ESSENTIAL FUNCTION QUESTIONNAIRE (1 OF 2)

Building on the results documented in Worksheet 2, the objective of this worksheet is to further evaluate essential functions and develop measures to minimize. If, at any point, the function is determined to NOT be critical or essential, it is not necessary to complete the questionnaire for that function.

**Area of Responsibility:** \_\_\_\_\_

**Function:** \_\_\_\_\_

Is this function directed by law, statute, or ordinance? If yes, provide reference.

Services this function provides: <i>(Additionally identify any supportive functions upon which this function depends. Primary essential functions may depend upon functions not previously identified as essential or on functions both within and outside the department. If the function under evaluation is in fact determined to be essential, then supportive functions identified here are also critical and need to be evaluated separately using Worksheet 4 )</i>					
1. The loss of this function would have the following effect on the agency:					
Check					
	Catastrophic effect on the agency or multiple division/directorates				
	Catastrophic effect on one division/directorate				
	Moderate effect on the agency				
	Moderate effect on some divisions/directorates				
	Minor effect on the agency or some divisions/directorates				
2. How long can this function continue without its usual operation of information systems and telecommunications support? Assume that loss of support occurs during your busiest, or peak period					
Check	Time Period	Check	Time Period	Check	Time Period
	Hours		Up to 3 Days		Up to 3 Weeks
	Up to 1 Day		Up to 1 Week		Up to 1 Month
	Up to 2 Days		Up to 2 Weeks		Other (specify)
Indicate the peak time(s) of year and/or peak days of the week and/or peak time of day, if any, for this function and its associated applications					
(Month) Jan Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec					
(Day) Sun Mon Tue Wed Thu Fri Sat					
(Hour) AM: 1 2 3 4 5 6 7 8 9 10 11 12 PM: 1 2 3 4 5 6 7 8 9 10 11 12					

## WORKSHEET 4:

### ESSENTIAL FUNCTION QUESTIONNAIRE (2 OF 2)

3. Are there any other peak load or stress considerations?
4. Have you developed/established any backup procedures (manual or otherwise) to be employed to continue this function in the event that the associated applications are not available? Consider how much data you can afford to lose.
If yes, how often have those procedures been tested?
5. The loss of this function would have the following legal ramifications due to regulatory statutes, contractual agreements, or law: (specify the area of exposure)
6. The loss of this function would have the following negative impact on personnel in this agency:
7. The loss of this function would keep us from supplying the following services to the public and other entities:
8. Specify any other factors that are to be considered when evaluating the impact of the loss of this function:
9. Are there ANY other supportive resources upon which this function depends (partner, vendor, software, unique resource, etc.) not already identified above?
10. Does an analysis of the responses to the above questions indicate that this function is still essential and/or critical to the agency? If yes, indicate below when such label is appropriate:
Always:
During the following period of the year:
During the following period of the month:
During the following day(s) of the week:
Other time period (specify):

## WORKSHEET 5:

### FUNCTIONS BROKEN DOWN BY PRIORITIES

Priority	Division/Area	Function	Description
Priority 1: 0-12 Hours	<b>Priority 1 functions</b> are the agency's essential/essential functions that must reach operational status no later than 12 hours after COOP Activation		
1.1			
1.2			
1.3			
Priority 2: 13 Hours to One Week	<b>Priority 2 functions</b> are those that must reach operational status within 13 hours to one week and be able to sustain operations for a minimum of 30 days. These functions may be dependent on the operational status of Priority 1 functions		
2.1			
2.2			
2.3			
Priority 3: One to Two Weeks	<b>Priority 3 functions</b> are important business functions that are nonetheless not needed until a full week following a disruption of service. Priority 3 functions may be dependent on the status of Priority 1 and 2 functions		
3.1			
3.2			
3.3			
Priority 4: Two Weeks to 30 Days	<b>Priority 4 functions</b> represent those functions that <b>MAY</b> be postponed until all functions in Priorities 1,2 and 3 are fully operational		
4.1			
4.2			
4.3			
Priority 5: 30+ Days	<b>Priority 5 functions</b> are those that can reasonably be suspended for 30 or more days, and may not be required to be performed for the duration of the emergency		
5.1			
5.2			
5.3			

## WORKSHEET #6

### MATRIX FOR LISTING DELEGATIONS OF AUTHORITY

In developing this list, the agency can review its pre-delegated authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations as appropriate.

Type of Authority	Position Title Holding Authority	Triggering Conditions

## WORKSHEET #7

### DELEGATION OF AUTHORITY – RULES, PROCEDURES AND LIMITATIONS

Complete this worksheet for each position identified in the second column of worksheet 2. Indicate the position on the line below and then list any rules for the delegation that may exist. Outline the procedures for the delegation including notification of relevant staff of the transfer of power, and limitations on the duration, extent and scope of the delegation.

**Position Holding Authority:** \_\_\_\_\_

Rules	Procedures	Limitations