



The California Office of Emergency Services Continuity of Operations/Continuity of Government Planning Program Description

1.0 INTRODUCTION

The California Office of Emergency Services Continuity of Operations/Continuity of Government (COOP/COG) Planning Program was developed with the goal of providing California government with the resources needed to achieve a COOP/COG capability. This program is based upon the federal COOP model, as presented in the Federal Preparedness Circular #65, the Department of Homeland Security's (DHS) COOP documents, and the Standardized Emergency Management System. It was created as part of a state pilot program with the assistance of the Office of Domestic Preparedness' (ODP) Homeland Security Preparedness Technical Assistance (TA) Program.

2.0 COOP/COG PLANNING

Continuity of Operations (COOP) and Continuity of Government (COG) planning ensure the continuation of essential functions through a wide range of emergencies and disasters. Today's changing threat environment and recent natural and man-made emergencies demonstrate the need for COOP/COG capabilities and plans at the local, state and federal levels.

COOP and COG are defined as follows:

- Continuity of Operations – an effort within departments and agencies to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. Essentially, it is the capability of maintaining the business of government under all eventualities. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternative facilities, personnel, resources, interoperable communications, and vital records/databases.
- Continuity of Government – the preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization's constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority and active command and control.

The following eleven planning elements of COOP and COG form the structure of the planning program:



Consolidated Elements of Continuity of Operations/Continuity of Government	
1.	Emergency concepts, actions and procedures provided in emergency plans and emergency action plans.
2.	Identification and prioritization of essential functions.
3.	Line of succession to essential positions required in an emergency.
4.	Delegation of authority and pre-delegation of emergency authorities to key officials.
5.	Emergency operations centers, alternate (work-site) facilities and alternate emergency operations centers.
6.	Interoperable communications.
7.	Protection of government resources, facilities and personnel.
8.	Safeguarding of vital records and databases.
9.	Tests, training and exercises.
10.	Devolution of control and direction.
11.	Reconstitution operations.

For more information on COOP/COG, please see the Discussion Paper titled, “COOP and COG – A Consolidated Approach.”

3.0 PLANNING REQUIREMENTS

Executive Order S-04-06, released by Governor Schwarzenegger on April 18, 2006, directed OES to promulgate model COOP/COG plans and guidelines by June 1, 2006, for use by state and local agencies. The OES COOP/COG Planning Programs’ Template and Guidance document provides a plan outline and discussion of each of the components. Due to the nature of the plan and resulting identification of alternate locations and vulnerabilities, COOP/COG plans should be kept as confidential documents and released For Official Use Only (FOUO).

In addition, the Executive Order requires all Executive Branch agencies to update their Continuity of Operations/Continuity of Government plans by September 30, 2006. These plans are to be consistent with the guidelines promulgated by OES and must be submitted to the Cabinet Secretary and the Director of OES upon completion. Procedures for the testing and exercising of these plans are to be included.

Upon completion of COOP/COG planning documents, the COOP/COG Plan Review Checklist and Certification of Completion will accompany each plan as it submitted to the Cabinet Secretary and to the Office of Emergency Services.



4.0 COOP/COG PLANNING PROGRAM

OES created the COOP/COG Planning Program to help achieve the objectives of the Executive Order and to provide all governmental organizations with the necessary planning resources to create their own COOP/COG plans. Application of the steps proposed in this program will result in a baseline plan that can be refined and enhanced over time.

The COOP/COG Program is comprised of the following planning components:

<i>COOP/COG Program Components</i>
Planning Program Description
Plan Template and Guidance
Set of Planning Worksheets
Facilitator Guide
Series of 4 Participant Workshop Guides
Series of 4 Planning Workshops
Discussion Papers
Plan Review and Certification Checklist

The program components are provided in a variety of formats. The Plan Template and Guidance are provided in Word so that they are easily editable. The Planning Worksheets are provided in Word, Excel, and Access Database to facilitate ease of use at the departmental level. The Planning Workshops are in PowerPoint format with accompanying notes. The Planning Program Description, Facilitator Guide, Participant Workshop Guides, and Discussion Papers are provided in Acrobat to reduce the overall size of the documents for ease of downloading. The Plan Review and Certification Checklist is provided as a Fill in Form for ease of completion.

Though some organizations will use the information provided in the program materials to update and enhance existing plans, those who are starting from the very beginning of the planning process will have everything they need to begin gathering data and constructing their plan. The various program components outline and present the COOP/COG planning process.

5.0 PLAN DEVELOPMENT PROCESS

The COOP/COG planning program is organized into four phases. Each phase involves a workshop as a means to introduce and coordinate the efforts required in that particular phase of the plan development process. The workshops are designed to systematically lead the planner or planning team through data collection and analysis to provide an initial continuity plan. The workshop titles are:



Continuity of Operations and Continuity of Government - COOP/COG Guidance

- **Workshop I** – COOP/COG Project and Program Management
- **Workshop II** – Identifying Essential Functions & Operations Vulnerabilities
- **Workshop III** – Resumption Strategies
- **Workshop IV** – Command and Control and Constructing the COOP/COG Plan

The series of accompanying worksheets provide agencies with a helpful tool for gathering, categorizing, and organizing critical data used in building the COOP/COG Plan. A list of the worksheets included in the materials is as follows:

Worksheet #	Worksheet Name
1	Essential Functions
1a	Supplement to Worksheet 1 – Essential Functions Process Details
2	Essential Functions Questionnaire
3	Resource Requirements for Essential Functions
4	Specific Threat Impact Assessment
5	Preliminary Vulnerability Assessment
6	Recovery Strategies
7	Minimum Facility Requirements
8	Alternate Worksite Options
9	Interoperable Communications Systems
10	Key Personnel
11	Vital Records and Databases
12	Mission Critical Systems and Equipment
13	Vendors & Supporting Agencies
14	Key Positions & Lines of Succession
15	Delegations of Authority
16	Critical Activity Recovery Procedures

These worksheets are tools and as such should be applied as needed. Depending on how far the organization has progressed in their planning process, some of these worksheets may be redundant or unnecessary. The worksheets are presented in a logical order assuming that an organization has not undertaken previous COOP/COG planning efforts. Organizations that have undergone previous data collection activities may choose to use a subset of these worksheets (or none at all), depending upon their planning process.

In addition to the workshops and the worksheets, a COOP/COG template has been provided in the program materials. It closely follows the federal COOP model. The template includes additional instructions on the information that should be included in a COOP/COG plan and a suggested organization of the information.



6.0 COOP/COG PLANNING OUTCOME

The outcome of this process will be an established baseline of COOP/COG capability that should be refined and enhanced over time. The primary focus initially, should be on developing a basic capability for each of the eleven elements of COOP/COG. The basic capability will be followed by development of a strategy to increase and build more specificity and sophistication into the Plan. This ongoing development strategy should be described and outlined in a multi-year strategy and program management plan.

7.0 COOP/COG PLAN CERTIFICATION

The planning resources and tools included in this program can be used whether an organization is starting from the very beginning of the planning process or merely updating plans already in place. However, Executive Order S-04-06 requires that the plans developed or updated by Executive Branch agencies be consistent with the guidelines promulgated by OES.

In order to ensure that a baseline of capability has been achieved for all eleven of the consolidated elements of COOP/COG, a Plan Review Checklist and Completion Certification form has been included in the program materials. When submitting completed COOP/COG Plans to the Cabinet Secretary and the Director of OES, this completed checklist must be included to certify that the requirements of Executive Order S-04-06 have been met.

8.0 ADDITIONAL COOP/COG RESOURCES

In addition to the COOP/COG resources mentioned above, CSTI is developing COOP/COG training to supplement this program. Information about the training will be available soon and can be found by accessing the CSTI link on the OES home page (www.oes.ca.gov).

If there are questions about the materials provided in the COOP/COG planning program, please address them to: COOPCOG@oes.ca.gov. The COOP/COG program staff will respond to questions as quickly as possible, but response time may be impacted by the volume of questions received.