

CONTINUITY OF OPERATIONS PLAN



May 2021



Mission Statement

The Mission of the City of Cupertino is to provide exceptional service, encourage all members of the community to take responsibility for one another, and support the values of education, innovation, and collaboration.



Document Handling and Security

In its entirety, the Continuity of Operations Plan / Continuity of Government addresses not only high-level overview information about how the City of Cupertino 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, or a designee, while implementation is coordinated by the department leadership and COOP/COG leads or alternates. For more information about continuity planning, contact the Cupertino Office of Emergency Management.



Acknowledgements

Special thank you to the individuals listed below who contributed to the development and approval of this plan. Their dedication to the process and hard work made this plan possible.

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 - Joanne Magrini, Director of Parks & Rec.
 - Karen Levy, Recreation Coordinator
 - Sean Hatch, Deputy Building Official
 - Kerri Heusler, Housing Manager
 - Roger Lee, Director of Public Works
 - Ken Tanase, Public Works Supervisor
 - Brad Alexander, Public Works Supervisor
-

Promulgation

The City of Cupertino has committed to providing exceptional service to all members of our community. Through continuity planning, the City of Cupertino will further demonstrate its steadfast commitment to the continuation of these services during an emergency or disaster, and the safety and protection of the community, its employees, and visitors. An organization's resiliency is causally related to the effectiveness of its continuity capability. A Continuity of Operations (COOP) plan establishes policy and guidance ensuring that personnel and resources are available to provide essential functions and services during emergencies or other disruptions in normal operations.

This COOP plan documents the basic information, procedures, and guidance which will enable the City of Cupertino to resume its essential functions within 12 hours of an emergency, with or without advance warning, and to sustain continuous operations for 30 days or the entire cycle of the incident.

This plan references information from FEMA, the State of California, and the County of Santa Clara; as well as, the City of Cupertino's Emergency Operations Plan, City code and other governmental documents. The plan addresses emergency operations from an all-hazards approach.

The City of Cupertino has reviewed and approved this plan, verifying its content to ensure it contains required information and guidance for sustaining its essential services and to minimize potential impacts during and following an emergency effective on **May XX, 2021**.

Deb Feng, City Manager

Date



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Executive Summary

The City of Cupertino (City) has developed the following Continuity of Operations Plan (COOP) to support the City's continual delivery of essential services during any hazard. The City consists of six departments including approximately 200 employees. Cupertino, California, is on the western edge of Silicon Valley against the foothills of the Santa Cruz Mountains. With a population of approximately 64,000 people within 13 square miles, Cupertino is 42 miles south of San Francisco and is home to high-tech companies.

The City has an Emergency Operations Plan (EOP) that is used to prepare for, respond to, and recover from major disasters. This COOP will serve as a supplemental tool designed to help the City's departments effectively sustain continuous operations of essential functions or resume within 12 hours of an emergency, with or without advance warning, for the entire cycle of the incident.

The COOP addresses an all-hazards approach to maintaining or reconstituting (if needed) essential services to the community. The guide provides the framework for the implementation and recovery actions necessary to continue essential functions during any emergency or situation until restoration of normal operations.

The Continuity of Operations Plan includes the following elements:

1. Essential Functions
2. Delegations of Authority and Orders of Succession
3. Human Capital Management
4. Continuity Facilities
5. Continuity Communication
6. Vital Records, Systems & Vendors
7. Devolution
8. Reconstitution
9. Test, Train & Exercise Program

Introduction

COOP planning is a critical business practice and is part of the fundamental mission of all agencies as responsible and reliable public agencies. The changing threat, environment and recent emergencies have shifted awareness to the need for COOP capabilities that enable agencies to continue their critical functions across a broad spectrum of emergencies. COOP plans augment and support existing Emergency Operations Plans (EOPs) and are most effectively activated as an Annex to the City of Cupertino's EOP.

Although preparing for major disasters or emergencies is important, it is equally important to prepare for emergencies that are less severe but more frequent. For example, in an average year, the City will likely be faced with the effects of severe storms, recurring areas of flooding, seasonal flu absenteeism, or technological interruptions more than a major disaster or terrorist incident. While risks and threats vary for each department, the more pre-planning the City does the more effective its operational capability will be to maintain citywide Essential Functions (EFs).

The City of Cupertino has operations that must be performed, or rapidly and efficiently resumed, in an emergency or other disruption to daily business. While the impact of an emergency cannot be predicted, planning for operations under such conditions can reduce the impact on the City's people, facilities, and mission.

This COOP plan establishes policy and guidance to ensure the execution of the essential functions for the City of Cupertino in the event of a disruption to normal operations.

Continuity of Government (COG) is embedded into the COOP plan ensuring that the City of Cupertino maintains the authority to initiate and implement both emergency and administrative powers during an incident when the COOP plan is activated. Each key position, whether elected or appointed has predefined lines of succession clearly delineated along with the necessary delegations of authorities for specified functions to be carried out in every situation.

Continuity of Government
(COG) is an essential function of emergency management, and is vital during an emergency/disaster situation. COG is defined as the preservation, maintenance, or reconstitution of the civil government's ability to carry out its constitutional responsibilities. COG planning is embedded within the COOP plan in Human Capital Management, Lines of Succession, and Delegation of Authority

Orders of succession are identified for each key position allowing for a predefined transition of leadership when incumbents are unavailable during a COOP activation.

Detailed information regarding Delegations of Authority and Orders of Succession are available in Appendix C.

Purpose

The purpose of the COOP is to provide the framework for City departments and divisions to restore mission essential functions when an emergency disrupts operations. The COOP includes the following elements:

- An Activation Checklist with recommended steps to be taken
- A comprehensive list of mission Essential Functions
- Recommended alternate facilities
- Comprehensive lists of continuity communications and vital systems needed to successfully restore or continue Essential Functions
- Guidance during a devolution
- How to reconstitute operations
- Tracked changes to this plan, as well as a training and exercise log

Whether the disaster is an earthquake, flood, or pandemic is immaterial to the COOP plan. The steps are always the same, assess the damage to mission Essential Functions and provide alternate means of sustaining those functions until either the incident is resolved, or a longer-term plan is established.

The City is committed to the safety and protection of its employees, visitors, 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/COG establishes procedures that the City leadership can use to strategically minimize risk to its employees, visitors, operations, and facilities.

Scope

Though the COOP plan is not a response plan, it does provide the framework, within the City's governance, leadership, and management structure necessary to support and guide key departments with continuity of mission critical operations. Each key department owns a portion of this COOP plan that contains protocols specific to its area of responsibility. City leadership expects a response time of 12-hours for all essential functions identified in this plan and a sustainment those functions for a period of 30 days or the end of the incident, whichever comes first.

The following City Departments have elements of the City’s COOP:

- City Manager’s Office
- Administrative Services
- Community Development
- Innovation Technology
- Parks and Recreation Department
- Public Works

The Santa Clara County Fire Department, Santa Clara County Sheriff’s Office, and Santa Clara Valley Water District provide critical services to the City of Cupertino. Each entity maintains individual continuity plans specific to the individual organization and discipline.

Hazard and Risk Analysis

The chart below provides potential hazards that could occur in the City of Cupertino. In addition, it should be recognized that, depending on the incident the IT department may not be able to bring backup systems online for a period of 4-8 hours. For more details regarding Hazard and Risk Analysis, refer to the [Local Hazard Mitigation Plan](#), in Volume II of the Santa Clara County plan.

Potential Hazards and Impacts				
Active Shooter	Dam Failure	Flooding	Loss of Internet	Loss of Personnel
Airplane Crash	Earthquake	Hazardous Materials Incident	Loss of Telephones - landline/cell	Pandemic
Bomb Threat	Explosion	High Winds	Loss of Electricity or Natural Gas	Loss of Building(s) – partial or total
Civil Disorder	Extreme Cold/Freeze	Landslide	Loss of Water or Sanitary Sewer	Terrorism
Cyber Terrorism or Data Security	Extreme Heat	Loss of Fuel	Loss of Transportation	Wildland Urban Interface Fire

Pandemic Planning and COOP

Much has been learned about pandemic planning and the COOP plan through the experience of the COVID-19 pandemic. Maintaining the City’s essential functions and services in the event of pandemic COVID-19 required additional considerations beyond traditional continuity planning. Unlike other hazards that necessitate the relocation of staff performing essential

functions to an alternate operating facility, a COVID-19 pandemic may not directly affect the physical infrastructure of the organization. As such, a traditional “continuity activation” may not be required during a pandemic COVID-19 outbreak. However, a pandemic outbreak threatens an organization’s human resources by removing essential personnel from the workplace for extended periods of time. Accordingly, this plan addresses the threat of a pandemic outbreak. In the event a future pandemic should occur, the City will strictly follow instruction and guidance provided by the Santa Clara County Public Health Officer. This could include implementing procedures such as social distancing, infection control, and personal hygiene. Cross-training to ease personnel absenteeism in a critical skill set becomes paramount. Protecting the health and safety of essential personnel is the focused goal in order to enable the City to continue to operate effectively and to perform essential functions and provide essential services during a pandemic outbreak.

Assumptions

The assumptions of this COOP Plan are as follows:

- The City of Cupertino will continue to be vulnerable to identified hazards and risks as well as others that may develop in the future.
- Leadership and employees will recognize their responsibilities to public safety and exercise their authority to implement this COOP Plan in a timely manner when confronted with disasters.
- In the event of disaster, the City of Cupertino may need to rely on services of adjacent jurisdictions, state and federal agencies, and the private sector, non-governmental organizations (NGOs) and use of volunteers in the recovery process. Thus, this COOP Plan can serve as a basis for future development of a multi-jurisdictional or multi-organizational plan that could incorporate mutual aid agreements, continuity locations, and interdepartmental communications plans to ensure a coordinated response to a disaster.
- While an annex of the Emergency Operations Plan (EOP), this COOP Plan may be implemented independently of the EOP and under different situations. The COOP Plan will be activated to the level necessary to address the threat or disruption of normal services.
- If properly implemented, this COOP Plan will reduce or prevent disaster-related losses.
- This COOP Plan is a part of a broader emergency planning structure for City of Cupertino. The emergency management structure will also apply to this COOP Plan, including the following:
 - Appointing authority
 - Vision and mission statement, goals, objectives, and milestones
 - Management policies and procedures
 - Applicable legislation, regulations, and industry codes of practice
 - Program budget, procurement procedures and management schedules



Objectives

The objectives of this COOP plan are to:

- Ensure the safety of all City staff,
- Reduce disruptions in operations,
- Facilitate decision-making during an emergency,
- Delineate essential functions and activities,
- Assign critical staff capable of sustaining essential functions during a COOP activation,
- Delegate authority,
- Establish orders of succession,
- Identify vital records, files, databases, systems, and equipment,
- Identify requirements for continuity communications,
- Identify alternate locations,
- Identify COOP maintenance requirements, and
- Provide training and exercises necessary to become proficient at implementing the COOP plan.

COOP Activation

The following individuals may activate this COOP plan.

Authorized Senior Official

Deb Feng, City Manager

Authorized Official Designee

Dianne Thompson, Assistant City Manager

COOP Activation Team

In the event of activation or partial activation of the COOP plan, a COOP Activation Team will be identified specific to the incident. To staff the COOP Activation Team, the City Manager or designee will identify key positions to provide management and technical expertise.

Within the first 12 hours of activation, the COOP Activation Team will provide a capability assessment and status report to the City Manager or designee. This report will include information like; a building inspector's assessment of affected facilities, staffing availability, communications capability, and the status of alternate facilities.

Keep in mind that disaster response activities are coordinated using a response plan, this COOP plan provides guidance for continuity of services and not disaster response. That said, reality is that some members of the COOP team also serve in the Emergency Operations Center during a disaster. Successful delineation of roles will require extensive cross-training and clear delegation of authority.

Additional tasks of the COOP Activation Team and other positions are identified in the Activation Checklist in Appendix A.

Operational Phases

When confronting events that disrupt the normal operations of the organization, the City of Cupertino shall implement its COOP plan utilizing the following time-phased approach:

Phase	Time Frame	Action
Phase 1 – Readiness & Preparedness	Pre-Event	Organizational and Staff Preparedness
Phase 2 - Activation and Relocation	0-12 hours	Activate the COOP plan and assess requirement to sustain essential functions If needed, relocate essential functions to continuity facility(ies) Notify the public of changes in services and/or relocation of services
Phase 3 – Continuity Operations	12 Hours - Termination or Extended Emergency Conditions	Identify replacements for missing personnel (delegation of authority and orders of succession) Commence full execution of operations supporting essential functions
Phase 4 - Reconstitution	Termination of Emergency	Inform personnel that the threat no longer exists, or a transition plan is being adopted Supervise return to normal operating facility

Once the threat has passed and normal operations are resumed, a review of the execution and effectiveness of the COOP plan is an important component to the department’s continued success. This will also provide an opportunity to update the COOP plan to correct deficiencies and/or incorporate best practices.

Elements of a COOP

Essential Functions

When confronting events that disrupt normal operations, the City of Cupertino is committed to ensuring that essential functions will be continued even under the most challenging emergency circumstances. The City of Cupertino has identified as critical only those priority business functions that are required by statute, regulation, executive order, or are otherwise necessary to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, or to sustain critical support to the residents of the City of Cupertino.

Essential Functions
are those functions
that enable an
organization to fulfill
its fundamental
mission

During activation of this COOP plan, all other activities may be suspended to enable the organization to concentrate on providing the critical functions and building the internal capabilities necessary to increase and eventually restore operations. Users should be notified if services are suspended.

The identification of essential functions is a prerequisite because it establishes the parameters that drive all continuity planning and preparedness efforts. Specifically, they represent the overarching responsibilities of city government to lead and sustain vital operations and services during a crisis. Therefore, the uninterrupted continuation of the essential functions shall be the primary focus of government leadership during and in the aftermath of an emergency that adversely affects the performance of government functions.

The list of essential functions, vetted by the City of Cupertino in 2021, represents the activities that must be restored or continued to enable the City of Cupertino to carry out its mission critical government functions and services.

A list of essential functions and responsible staff for those functions can be found in Appendix B.

Delegations of Authority and Orders of Succession

In the event that executive leadership, senior management, or senior technical personnel are unavailable during an emergency, the City of Cupertino has developed a set of procedures to govern both delegations of authority and orders of succession.

These sets of procedures ensure that there is adequate coverage when individuals are rendered unable to perform their duties and provides measures that allow replacements to be readily made to fill vacancies, thereby fulfilling the requirements of Continuity of Government [COG] provisions.

Specific information regarding delegations of authority and orders of succession can be found in Appendix C.

Orders of Succession
provides for the orderly and pre-defined assumption of senior organization offices in the event that any officials are unavailable to execute their legal duties

Human Capital Management

Successful implementation of the COOP plan rests on the management of human capital. The Continuity of Operations (COOP) Planning Team has reviewed authorities and policies to protect the safety and productivity of employees and to mitigate disruptions to operations. The

Human Capital Management is the sum of talent, knowledge, and enthusiasm that people invest in their work. Effective human capital management does the following:

- Places the right people in the right jobs to perform Essential Functions most effectively
- Ensures that ALL employees have a clear understanding of what they are to do during a COOP activation

City of Cupertino will review staff scheduling procedures, identify alternate staffing resources, and develop a plan on temporary business reduction due to critical losses of staff.

Additionally, the COOP plan may utilize Disaster Service Workers (DSWs) during a COOP plan activation. DSWs are defined as “all public employees and all registered volunteers of a jurisdiction having an accredited disaster council,” per the Government Code, Title I, Division 4, Chapter 8, and Labor Code, Part I, Division 4, Chapters 1 and 10. This means that all City employees may become essential personnel during a COOP plan activation.

City Employee Considerations

An important consideration in COOP planning is the safety, security, and prosperity of all employees. There can be significant access and service gaps that exist for some City employees. Those employees include the following:

- Employees who have additional needs before, during, and after an incident in functional areas such as maintaining independence, communication, transportation, supervision, and/or medical care
- Employees who need additional response assistance such as employees with limited English proficiency or non-English speaking, those without transportation, those who require accommodations for major life activities, and those with disabilities

This COOP plan incorporates the whole community approach to COOP planning. Consideration has been given to incorporating Americans with Disabilities Act (ADA) regulations into COOP planning efforts. The overarching whole community considerations include the following:

- Complying with ADA regulations in primary locations and in continuity locations
- Providing appropriate transport and access for all employees within their primary location and continuity locations – This includes evacuation plans, procedures, and equipment that ensure a safe and timely exit for the employee with their equipment
- Engaging all employees to establish relationships and build trust prior to a COOP event
- Determining the needs and documenting any resource gaps for all employees
- Training and exercises with employees who require additional response assistance, capturing lessons learned, and implementing strategies to correct the gaps in COOP activation policies and procedures for all employees

Personnel Relations/Family Preparedness Planning

City employees should consider preparedness measures to reduce the impact caused by an incident that disrupts operations. During a COOP plan activation, employees will be responsible for maintaining the operation of essential functions.

It is important to ensure that human resource policies support the overall COOP program. Operating procedures addressing human resources issues are necessary to maintain the productivity and availability of personnel resources. These issues include the following:

- Leave policies
- Labor relations/union contracts
- Flexible work arrangements
- Employee communication (internal/external)
- Cross-training
- Contingency staffing plans (internal/external)

- Transportation
- Employee communication programs/accountability
- Counseling/Wellness
- Family shelter/day care

Preparedness Elements for City Employees

Having an individual and family preparedness plan in place could allow employees to perform essential functions. All employees should consider developing personal preparedness plans that include:

- Developing a childcare plan (day care alternatives, alternate after-school site, neighbor assistance, family member assistance)
- Developing an adult/elder care plan (adult day care alternatives, alternate care site, neighbor assistance, family member assistance)
- Developing a pet care plan (neighbor assistance, family member assistance, or kennel)
- Developing an alternate transportation plan for employee and other family members
- Developing a family communications plan
- Developing a family reunification plan

Additional personal preparedness resources can be provided by the Office of Emergency Management or review Guidance provided by FEMA's Ready Responder

<https://www.ready.gov/sites/default/files/documents/files/RRToolkit.pdf>

Personnel

Each department should keep a roster of mission essential personnel who will fill COOP positions. The Human Resources Division maintains official personnel files and can provide contact information as needed. Contact information will be updated annually or as personnel changes occur.

Keep in mind that disaster response activities are coordinated using a response plan, this COOP plan provides guidance for continuity of services and not disaster response.

Mission Essential Personnel

- The designation of mission essential will depend upon the employee's duties and the essential functions that need to be performed following COOP plan activation.

Nonessential COOP Personnel

- Following COOP plan activation, nonessential COOP personnel will report to work only if required by their Supervisor or by the COOP Activation Team as a Disaster Service Worker.

Disaster Service Workers (DSWs)

- There are two types of DSWs.
 - DSW Employees are City employees (including part-time employees) who are required to report back to work after ensuring the safety of their home and families to assist in disaster-related events.
 - DSW Volunteers have chosen to volunteer their time to assist the City of Cupertino in carrying out specific responsibilities as determined at the time of the incident.
- During a COOP plan activation, both types of DSWs are vital to the continuity or re-establish operations of Essential Functions. Keep in mind that COOP is not a response plan but rather a continuity of day-to-day services.

Staff needed to provide essential functions are COOP/COG Mission Essential Personnel and are listed by title on the Essential Functions list in Appendix B.

Continuity Facilities

Once the Plan is activated and personnel are notified, the City of Cupertino will relocate continuity personnel and vital records to designated Continuity Facilities if necessary. The continuity personnel may deploy/relocate to perform the Essential Functions and other continuity-related tasks.

Continuity Facilities are identified locations where leadership and staff may operate during a continuity event

Consideration should also be given to “telework” capabilities by key continuity personnel. In this situation, it will be imperative that strong communication paths be established and maintained. See the section titled Continuity Communication for more details.

FEMA Reimbursement Eligibility to Temporarily Relocate Essential Community Services

If the City of Cupertino provides essential community services at a facility that is determined to be unsafe, inaccessible, or destroyed as a result of the incident, temporary relocation of these services to another facility may be eligible for FEMA reimbursement. Essential community services are those services of a governmental nature that are necessary to save lives, protect property and the public, and preserve the proper function and health of the community at large. FEMA evaluates the criticality of the service and safety of the facility to determine the need for temporary relocation. FEMA will not incorporate funds from temporary facilities into fixed cost projects.

Eligible for Temporary Relocation Reimbursement

Essential community services provided by an eligible Applicant are eligible for reimbursement of relocation expenses. The following services are considered essential community services (these differ from the list of Private Nonprofit (PNP) essential social services)

- Education
- Election and polling
- Emergency, including emergency management, law enforcement, fire, and rescue
- Homeless and domestic violence shelters
- Emergency medical care
- Utility
- Other facilities that provide public health and safety services of a governmental nature

Services provided in administrative and support facilities essential to the provision of the essential community service are also eligible for relocation. These include administration buildings, student housing, cooking facilities, parking, and storage if items are needed on-site.

Ineligible for Temporary Relocation Reimbursement

Facilities that do not provide essential community services are ineligible for temporary relocation. These include facilities and services such as museums, community centers, shelter workshops, performing arts centers, recreation and parking, athletic stadiums and fields, houses of worship, housing and residential services, custodial care, assisted living, senior citizen centers, alcohol and drug rehabilitation, childcare, libraries, research and warehouse facilities, burial, vocational, academic, athletic, political training, and student union buildings.

FEMA determines the eligibility of relocating services to another facility based on the safety of the damaged facility. Refer to “*FEMA Public Assistance Program and Policy Guide 2020*” for more details.

Continuity Facilities are defined, mapped, and detailed in Appendix D.

Continuity Communication

Continuity communication refers to the ability for personnel to communicate internally, and externally during an emergency.

City employees identified as COOP/COG continuity personnel should provide necessary means of communication (i.e., email, voice, text, landline, etc.) to the Department of Human Resources.

The City has provided key personnel with access to GETS (government emergency telecommunications system) to be used for emergency communications.

The following **INTERNAL** methods will be used to communicate with emergency and non-emergency personnel during emergencies:

- AlertSCC (voice, text, email)
- Landline phone (POT voice/fax) system, cell phone (voice, text)
- City intranet website
- E-mail and text messaging

The following **EXTERNAL** methods will be used to communicate with the public, the media, and other agencies/organizations during emergencies:

- AlertSCC (voice, text, email)
- Landline phone (POT voice/fax) system, cell phone (voice, text)
- E-mail and text messaging
- Public website – www.cupertino.org
- Two-way radio
- Satellite phone
- Video teleconferencing
- Social Media

Continuity Communications

- *Must support the execution of essential functions*
- *Provide capability to communicate within the organization*
- *Provide connectivity to outside agencies and customers*

Critical information systems used to accomplish essential functions during normal operations at the primary location must be accessible at the continuity location. For these systems to be accessible connectivity must be in place at the continuity location and system servers should be

backed up at more than one location. Each department will coordinate with the IT Department on the specific technical support needed during COOP plan activation. If the communications infrastructure is affected, the telephone and voicemail systems could require 12–24 hours for restoration.

A specific continuity communications equipment list is available in Appendix E.

Vital Records, Systems & Vendors

To the extent possible, the City of Cupertino will provide for off-site storage of duplicate records and (out-of-state/out-of-area if possible) backup for electronic records and databases, also providing access to vital records and databases at the continuity facility.

Vital records include, but are not limited to:

- Accounts Payable
- Contracts
- Personnel files
- HR forms
- Databases
- Payroll

Vendors and other agencies are often involved, at varying levels, in the activities of an essential function. It is important that the City knows which vendors or agencies will be available during a COOP activation. Vendors should provide information regarding their own continuity planning to ensure their ability to perform when an emergency arises.

Vital Records are those electronic and hard copy documents, references and records needed to support essential functions

Detailed information regarding vital records, systems and vendors is provided in Appendix F.

Devolution

Devolution planning in the City of Cupertino supports overall COOP planning and addresses threats and all-hazards emergency events that may render an office or department's staff unavailable to support, or be incapable of supporting, the execution of essential functions from either its primary location or its alternate location(s). The City of Cupertino utilizes a devolution option for continuity, when allowed by law, addressing how to identify and conduct priority essential functions during an increased threat situation or in the aftermath of a catastrophic emergency.

As part of COOP planning, the City of Cupertino acknowledges that the following triggers may be used to **devolve** from COOP operations:

- Loss of key personnel required to make decisions
- Loss of systems, equipment or facilities that are essential to carry out essential functions

First responder agencies participating in a Mutual Aid Agreement, such as law and fire organizations, will follow procedures from that agreement to continue essential function activities.

Other departments can refer to the procedures listed in Appendix G.

Reconstitution

The City of Cupertino has developed general guidelines and policies for ending alternate operations and returning to a non-emergency status at the designated primary facility.

As part of COOP planning, the City of Cupertino acknowledges that the following triggers may be used to **reconstitute** from COOP operations:

- Communications infrastructure has been restored
- Office facilities and equipment are restored, accessible and available for use
- Utilities (power, water, restrooms, etc.) are in working order

Information regarding the reconstitution process can be found in Appendix H.

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

Test, Train & Exercise

Testing, training, and exercising is intended to familiarize City staff with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate aspects of the COOP plan. Training, exercise, and evaluation of the COOP will be integrated into the City's Comprehensive Training and Exercise Program to ensure the ability to implement the critical elements of COOP.

A COOP Exercise Program focuses primarily on evaluating capabilities or an element of a capability, such as a plan or policy, in a simulated situation.

The Exercise Program includes the following elements:

- 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
- Delegations of Authority/Orders of Succession
- An exercise that incorporates the *deliberate and preplanned movement* of COOP personnel to an alternative facility location
- Communications capabilities and both inter- and intra-office/department level dependencies including a call out drill
- An opportunity to demonstrate that backup data and records, required supporting essential functions at COOP facilities or locations are sufficient, complete, and current
- An opportunity for COOP personnel to demonstrate their familiarity with the reconstitution procedures to transition from a COOP environment to normal activities, when appropriate
- 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
- Office/Departmental level participation: conducting and documenting annual assessments of their COOP Plans and programs

Based on the outcome of the exercise program, the City of Cupertino should develop a 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:

- * Identify COOP deficiencies and other areas requiring improvement and provide responsibilities and a timeline for corrective action
- * Identify program and other COOP funding requirements for submission to the respective elected officials or department heads

- * Identify and incorporate efficient acquisition processes, and where appropriate, collect all inter-office/department requirements into one action

The City's chart of tests, training and exercises of COOP capability are reflected in Appendix I.

Plan Maintenance and Distribution

At a minimum, this plan will be reviewed annually for consistency and revised as needed. Interim revisions can be made if information changes significantly, between scheduled revisions. When reviewing the plan, special attention should be paid to the following:

1. Has the department moved, added, removed, or adjusted operations that would impact this plan?
2. Is there a new organizational chart for the department that would require the plan to be updated to encompass the changes in title or staffing?
3. Are there any new or revised site-specific vulnerabilities that should be added to the plan?
4. Is the list of Essential Functions up to date?
5. Is there a MOA/MOU for Continuity Facilities that needs to be updated?
6. Are the Continuity Communications still adequate to support Essential Functions fully?

The COOP Planning Team, or designees, will be responsible for converting information from the Exercise Program's Improvement Plan into the revisions necessary to the COOP plan.

A chart of Plan Maintenance can be found in Appendix J.

References

The COOP plan has been developed with the full support of the department's director, the City Manager, and the Office of Emergency Management.

References

- 1) [Continuity Guidance Circular](#), February 2018
- 2) [FEMA Continuity Resource Toolkit](#), October 2020
- 3) [Cal OES Continuity Planning](#), dated January 2019
- 4) [City of Cupertino Emergency Operations Plan](#), dated June 2019
- 5) [Local Hazard Mitigation Plan](#), dated September 2017
- 6) [Cupertino Municipal Code](#)

Appendices

The following documents contain operational information and details. Where appropriate measures have been taken to redact sensitive information from public view. All efforts have been made to provide as much information as possible to the public.

Appendix A – COOP Activation Checklist

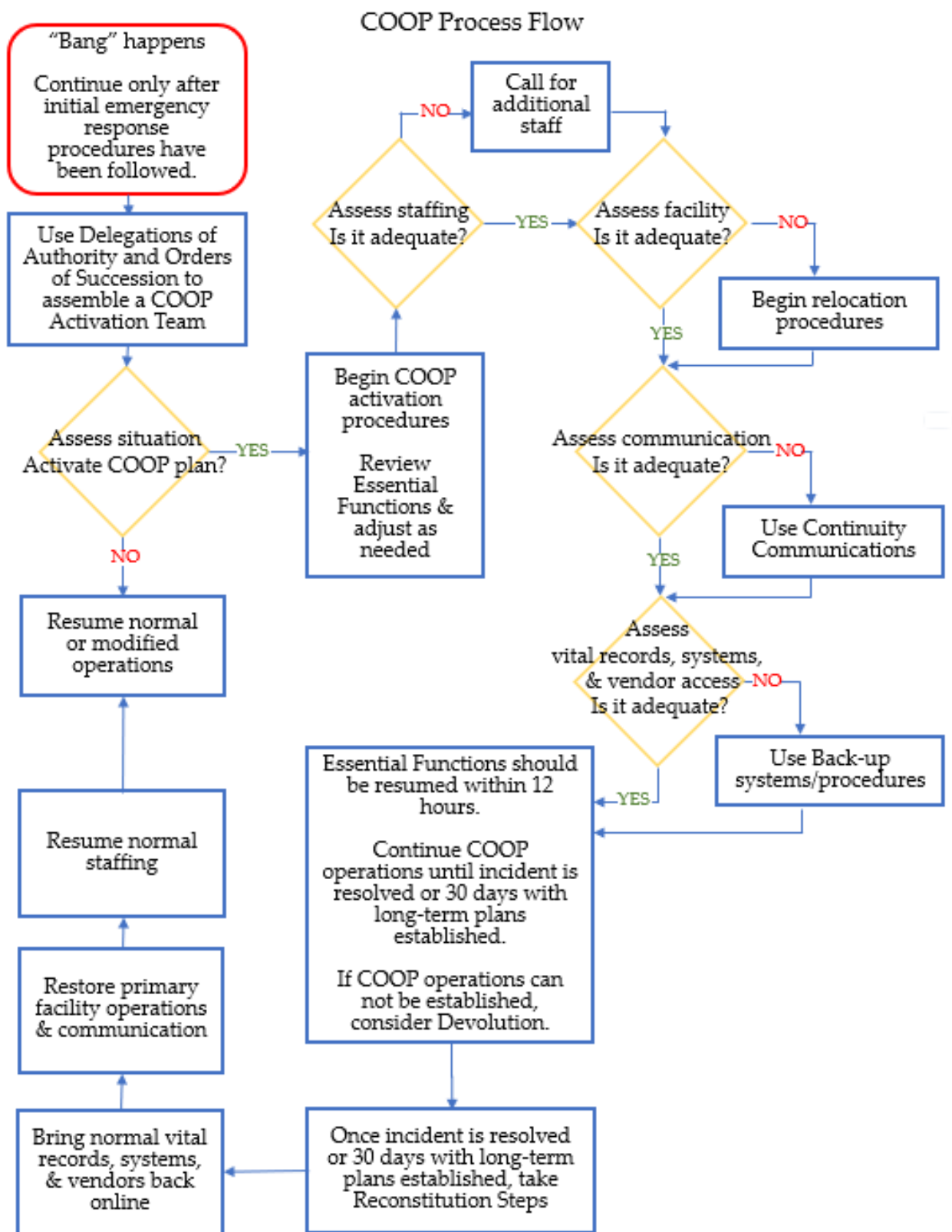
IMPORTANT NOTES:

1. Use this checklist AFTER initial emergency response procedures have been followed.
2. IT may need 4-8 hours to bring backup systems online, depending on specifics of the incident.

	Trigger(s)	Description of Activity	Responsible Staff	Comments/Notes
☐	Disaster or emergency incident occurs that makes it impossible for employees to perform their normal duties	Call for COOP activation	City Manager or designee	
		Assemble COOP Activation Team	City Manager or designee	Look to the Office of Emergency Management for recommendations when selecting the COOP Activation Team Members. They are selected specific to needs of the incident and availability. Use Delegation of Authority and Orders of Succession to assist with this selection (Appendix C)
☐	COOP Plan is activated	Notify all City staff that the COOP has been activated.	COOP Activation Team Leader or designee	Use AlertSCC to notify.
		Begin COOP Activation Procedures	Essential Functions Responsible Staff	Use Activation Flow Chart (Appendix A)
		Develop a COOP strategy specific to the incident & City's needs. Review Essential Functions list and make appropriate changes based on incident	COOP Activation Team Leader or designee	Use Activation Flow Chart (Appendix A)

PAGE 2 OF COOP ACTIVATION CHECKLIST

	Trigger(s)	Description of Activity	Responsible Staff	Comments/Notes
<input type="checkbox"/>	Primary facility is unusable	Move essential functions operations to continuity facility as needed	Essential Functions Responsible Staff Lead	Building inspectors will be able to inspect the five primary City buildings within the first 12 hours (City Hall, Community Hall, Quinlan Community Center, Sports Center, Senior Center)
<input type="checkbox"/>	Continuity facility is used	Notify anyone (including the public) who has a “need to know” if essential functions are being performed at an alternate location	Essential Functions Responsible Staff Lead	Refer to Continuity Facilities (Appendix D)
<input type="checkbox"/>	Normal communications are not available	Ensure continuity communications are available	Essential Functions Responsible Staff Lead	Refer to Continuity Communications (Appendix E)
<input type="checkbox"/>	Vital records, systems or vendors are not available	Ensure vital records, system and vendors are available to perform essential functions in continuity facility	Essential Functions Responsible Staff Lead	Refer to Vital Records (Appendix F)
<input type="checkbox"/>	Essential Functions are being performed but disaster is still not resolved	Monitor incident & begin planning for Reconstitution	COOP Activation Team or designees	



Revised 4/26/2021

Appendix B -- List of Essential Functions and Responsible Staff

The List of Essential Functions, below, indicates City functions that are delineated by priority. Changes may be made to these lists at the time of an activation to better align with specifics of the incident. Any exceptions to the priority list must be appropriately documented.

Priority 1 Functions – Those functions that should be resumed or continued within the first 12 hours of the incident

Priority 2 Functions -- Those functions that should be resumed within the first 3 days of the incident

Not listed in this plan are additional functions that have not been identified as essential but can be resumed or continued once Priority 1 and 2 Functions are established and only if time and resources are available.

<u>PRIORITY 1 FUNCTIONS</u>				
ID #	Priority / Function	Description of Activities	Responsible Staff	
AS/FIN2	1	Payroll	Processes payroll for ~200 employees. Tax filings, CalPERS & liability remittance/reconciliation. Process 10k paychecks annually	Account Technician / Accountant
AS/HR13	1	Risk Management	Review & process claims & renewals; OSHA Reporting requirements	HR Manager & Analyst
AS/HR14	1	Workers' Compensation Claims Administration	Ability to receive, process, & accept WC claims on Day 1 of the 1st operational period	HR Analyst
AS/HR15	1	DOT Pull Program	Access staff has valid CDLs & ensure compliance with Federal Law	HR Analyst

<u>PRIORITY 1 FUNCTIONS</u>				
ID #	Priority / Function	Description of Activities	Responsible Staff	
AS/HR16	1	Policy Administration	Review & implement any mandatory changes to wages, benefits, mandatory training e.g., FFCRA, OSHA, CFRA	HR Manager, Tech, Analyst
CD/CD1	1	Permit Processing	Process permit applications & collect permit fees for plan review & field inspections.	Permit Technicians & Planners
CD/CD2	1	Plan Review	Review construction drawings for compliance to California Code of Regulations (Title 24) & the Cupertino Municipal Code.	Plan Check Engineers & Planners
CD/CD3	1	Inspections	Perform field inspections to verify compliance to approved plans, Title 24, & the Cupertino Municipal Code.	Building Inspectors & Planners
CD/HOUS30	1	Homelessness Task Force	Coordinate meetings with City departments, create policy, assess community needs, report to City Manager & regional agencies	Housing Manager or member of task force from City Manager's Office, Public Works, Housing Division, or Emergency Management
CD/HOUS38	1	Homelessness	Oversee City initiatives, Safe Park Program, coordinate with social service providers & County	Housing Manager or Senior Housing Planner
CM/CC1	1	Municipal Officer duties	Perform necessary duties as Clerk of the Council	City Clerk or Deputy City Clerk
CM/CC2	1	Municipal Officer duties	Perform Attestations	City Clerk or Deputy City Clerk
CM/CC3	1	Administer Affirmations	Administer Affirmations/Oaths of Office	City Clerk or Deputy City Clerk

PRIORITY 1 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff
CM/CC6	1 Council Agendas	Prepare City Council Agendas	City Clerk or Deputy City Clerk
CM/CC7	1 Legislative Proceedings	Record Legislative Proceedings	City Clerk or Deputy City Clerk
CM/CC9	1 Attest to Ordinances	Attest to Ordinances & Resolutions & Authority to Execute Instruments	City Clerk or Deputy City Clerk
CM/CC15	1 City Records & Archives duties	Record Legislative Meetings	City Clerk or Deputy City Clerk
CM/CC16	1 City Records & Archives duties	Administer Contracts & Agreements	City Clerk or Deputy City Clerk
CM/CC19	1 City Council Support duties	Support Council Meetings	City Clerk or Deputy City Clerk
CM/CM1	1 Ensure that laws are enforced	To see that all laws & ordinances of the City are duly enforced & that all franchises, permits, licenses & privileges granted by the City are faithfully performed & observed	City Manager
CM/CM2	1 Give direction to Directors	To control, order & give directions to all directors of departments & to subordinate officers & employees of the City under his or her jurisdiction through their department directors, & to transfer employees from one department to another	City Manager
CM/CM4	1 Attend City Council	To attend all meetings of the City Council unless excused therefrom by the City Council	City Manager

PRIORITY 1 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff
CM/CM5	1 Make Recommendations to City Council	To recommend to the City Council for adoption such measures & ordinances as he or she deems necessary or expedient	City Manager
CM/CM6	1 Inform City Council	To keep the City Council at all times fully advised as to the financial conditions & needs of the City	City Manager
CM/CM8	1 Approve purchases of supplies for departments & divisions	To purchase or cause to be purchased all supplies for all the departments or divisions of the City. No expenditures shall be submitted or recommended to the City Council except on report & approval of the City Manager	Administrative Services Director
CM/CM10	1 Investigate complaints	To investigate all complaints in relation to matters concerning the administration of the government of the City & in regard to the services maintained by public utilities in the City & to see that all franchises, permits & privileges granted by the City are faithfully observed	City Manager
CM/CM11	1 General Supervision of City & public properties	To execute general supervision over all public buildings, public parks, streets & other public property which are under the control & jurisdiction of the City Council	City Manager

PRIORITY 1 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff
CM/COM1	1 Media Relations	<p>Media relations work includes writing & distributing news releases & responding to media inquiries. The Office oversees all planning for news conferences, including selecting the site for an event, arranging for banners & other graphics to be displayed at the event, preparing packets of information to distribute to the media & preparing executives to speak at news conferences.</p> <p>Media relations also involves arranging for City spokespersons to appear on local television & radio programs. The Office also monitors newspapers, television news broadcasts, & other outlets to see what the media is saying about the City & to develop strategies to address misinformation.</p>	<p>Communications Officer</p> <p>Community Outreach Specialists</p>

PRIORITY 1 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff
CM/COM4	1 Community Relations	Community relations refers to the various methods the City uses to establish & maintain a mutually beneficial relationship with the community. The Office oversees or assists in such activities as the creation of FAQs, community surveys, news alerts, newsletters, & memos. The Office strives to be proactive versus reactive. The Office also oversees the front desk, responds to resident questions & comments, & clarifies misinformation.	Communications Officer Community Outreach Specialists Senior Communications Assistant
CM/COM7	1 Crisis Communications	The Office assists the City during a crisis—natural disasters, human-made events, emergencies, & other unexpected events—by drafting & releasing information, tracking misinformation & clarifying facts in real time, working with the media, & ensuring updated information internally & publicly.	Communications Officer Community Outreach Specialists
IT1	1 EOC Support	Ensure IT infrastructure is available in the EOC. (Servers, Storage, Network, phones, copier, AV System, Internet, any related EOC systems)	Infrastructure Manager
IT2	1 EOC Support	Ensure access to GIS systems are operational (Online and On-Prem)	GIS Manager

PRIORITY 1 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff	
PnR1	1	Communication to all stakeholders (immediate)	Notify all users/members/renters of effected Parks and Rec facilities of building/program status. Use all available communication methods-phone, email, website, social media, a-frame posters, flyers, radio, HAM radio, Sports Center sign, portable traffic signs. Contact SCC Sherriff if QCC is impacted (site of Sherriff sub-station)	Asst. Director of Parks and Rec.
PW1	1	Street Maintenance	Maintain the cities of the 142 center miles of roadways. Prioritize critical access routes	Supervisor, lead worker
PW5	1	Concrete Sidewalks, Curbs & Gutters	Inspect, repair, & maintain the cities concrete sidewalks, curbs, & gutters. Prioritize life safety issues	Public Works Inspector, Supervisor, lead worker
PW9	1	Emergency Response	Respond to and assist with various emergency events as requested by the Sheriff & Fire departments	Supervisor, lead worker
PW10	1	Interdepartmental Support	Support other public works maintenance divisions, engineering & CIP groups	Public Works Inspector, Supervisor, lead worker
PW11	1	Communications with Public	Respond to emails, telephone calls, Cupertino 311 service requests, in person meetings. Screen for life safety issues	Public Works Inspector, Supervisor, lead worker

PRIORITY 1 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff
PW/FnF1	1 Facilities Maintenance	Maintain environmental control in continuity facilities	Public Works Supervisor (Facilities)
PW/FnF2	1 Building Maintenance	Maintain buildings and address immediate needs impacting essential functions	Public Works Supervisor (Facilities)
PW/FnF3	1 Fleet Maintenance	Maintain fleet and address immediate needs impacting essential functions	Public Works Supervisor (Fleet)

Priority 2 Functions -- Those functions that should be resumed **only** after
Priority 1 Functions have been established and within the first
3 day of the incident

<u>PRIORITY 2 FUNCTIONS</u>				
ID #	Priority / Function	Description of Activities	Responsible Staff	
AS/FIN11	2	CAFR	Highly intensive process thru both interim & final phases. Much of the processes above feed into the audit however there are significant additional schedules & entries that need to be prepared	Finance Manager /Sr Accountant
AS/FIN12	2	Purchasing/PO	Purchasing is decentralized however the creation & maintenance of purchase orders is centralized in finance.	Accountant 1 / Accountant 2
AS/FIN13	2	Bank Reconciliation	Monthly bank rec is prepared & reviewed by finance	Accountant / Sr Accountant
AS/HR 1	2	New Employee Onboarding	New Hire Entry, Onboarding & orientation. CalPERS entry	HR Tech & Analyst
AS/HR2	2	Payroll Support	Time Entry, Approval, OOC, EDD Reports, AB 119, EEO-4	HR Tech & Analyst
AS/HR3	2	Personnel Files	Maintenance of employee personnel Files	HR Tech & Analyst
AS/HR4	2	EDD	UI responses to EDD	HR Tech
AS/HR5	2	Benefits Administration	Benefits Administration & Contracts (Medical, Dental, Vision, etc.) Open Enrollment	HR Analyst
AS/HR6	2	Leave	FMLA, PFL, CFRA leaves	HR Analyst

<u>PRIORITY 2 FUNCTIONS</u>				
ID #	Priority / Function	Description of Activities	Responsible Staff	
AS/HR7	2	Retirement	Retirement/Separation meetings with staff	HR Analyst
AS/HR8	2	Benefits Billing	Benefits Billing & Auditing Invoices	HR Analyst
AS/HR9	2	HRIS	Maintain & update NWS	HR Tech
AS/HR10	2	Recruitment	Screening, Testing, & Hiring Employees	HR Tech & Analyst
AS/HR11	2	ACA	ACA Reporting & Compliance	HR Analyst
AS/HR 12	2	COBRA	COBRA Eligibility	HR Analyst
AS/HR17	2	HR Administrative Functions	Mail collection, Division phone/emails are responded to timely. Address critical issues	HR Tech
AS/HR18	2	HR Procedures	HR Procedures documented, cross training between staff to ensure continuity of services	HR Manager, Tech, Analyst
CD/CD5	2	Addressing	Process incoming applications for new addresses & report to internal & external agencies.	Administrative Assistant
CD/HOUS18	2	Review & approve invoices	Contractors, housing & human services grants	Housing Manager or Senior Housing Planner
CD/HOUS19	2	Housing Contracts	Draft, execute & amend contracts	Housing Manager or Senior Housing Planner
CD/HOUS23	2	Housing & Human Services Grants Technical Assistance	Work with applicants to identify funding sources, work with subgrantees to ensure compliance with existing grants	Housing Manager or Senior Housing Planner

PRIORITY 2 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff	
CD/HOUS24	2	Website Updates	Serve as department website content manager including writing, editing, proofreading & updating content & work closely with IT to maintain site standards.	Housing Manager or Senior Housing Planner
CM/CM3	2	Appoint, discipline & dismiss officers & employees of the City	To appoint, discipline & dismiss any & all officers & employees of the City except those elected by the electors of the City or whose appointment or dismissal is denied to the City Manager under the laws of the state. The power to appoint given in the preceding paragraph does not include the power to create a new position except as provided under Chapter 2.52	City Manager
CM/CC12	2	City Records & Archives duties	Attend to Public Records Requests	City Clerk or Deputy City Clerk
IT3	2	IT Helpdesk	IT Technicians staff Helpdesk via phone and PC	Infrastructure Manager / Helpdesk staff
IT4	2	Application Support	Computer application support	Applications Manager
IT5	2	Citywide Infrastructure Support	Bring up essential City systems not related to EOC	Infrastructure Manager / Applications Manager / GIS Manager
PnR3	2	Communication to Senior community (w/in first week)	Contact all senior center members. Offer wellness check-ins to them as well as to any interested seniors. Provide	Asst. Director of Parks and Rec.

PRIORITY 2 FUNCTIONS

ID #	Priority / Function	Description of Activities	Responsible Staff
		frequent updates and resource information. Communicate that help is available.	
PnR7	2 Program maintenance (12-72 hours)	Golf course-schedule course management contractor to maintain course during any shutdown. Determine plan for care of animals at EEC-need daily attention. Move smaller animals to staff's houses. Monitor all six access points to SCC if closed. Move/dispose of any food (SC, QCC, BBF cafe) if power is out.	Asst. Director of Parks and Rec.
PW2	2 Roadway Signs & Markings Maintenance	Maintain the vast inventory of roadway signs, markings, & other signs throughout the city. Prioritize critical lifeline routes	Supervisor, lead worker
PW3	2 Streetlights	Maintain streetlights, park pathways & parking lot lights infrastructure	Supervisor, lead worker
PW6	2 Storm Drain System Maintenance	Inspect, clean, & maintain 90 miles of storm water infrastructure	Supervisor, lead worker

Appendix C -- Delegation of Authority and Order of Succession

In accordance with City Council Resolution No. 05-065, the City Manager is granted approval to appoint, in writing, any of the following department heads of the City to serve as City Manager pro tempore whenever the City Manager is unavailable:

- A. Director of Administrative Services
- B. Director of Public Works
- C. Director of Community Development
- D. Director of Parks and Recreation
- E. Other management staff as appropriate

In the event that the City Manager is unavailable to specify a City Manager pro tempore, succession shall follow this order:

- A. Director of Administrative Services
- B. Director of Public Works
- C. Director of Community Development
- D. Director of Parks and Recreation

Key Position	Primary Successor	Secondary Successor
Director of Public Works	Assistant Director of Public Works/ City Engineer	Service Center Superintendent
City Attorney		
Director of Community Development	Chief Building Official	Senior Building Inspector
Director of Parks and Recreation	Assistant Director of Parks and Recreation	Recreation Supervisor
Director of Administrative Service/Treasurer	Finance Manager/Deputy Treasurer	Human Resources Manager
Chief Technology Officer	Innovation Technology Manager -Infrastructure	Innovation Technology Manager
Communications Officer	Multimedia Specialist	Multimedia Specialist

Appendix D – Continuity Facilities

Option A-Individual or Short-term Incident

Option A should be used if there is an immediate need to relocate staff due to an isolated incident. Other buildings would not normally be affected in this scenario. The duration of relocating to an Option A facility may only be a few hours to a few days. Reasons to use Option A facility may be but are not limited to, a power outage in the primary location, a flood in the primary location, insufficient access to the primary location due to tree falling or other obstruction, or a hostage/shooter incident requiring evacuation. Option A should be considered an individual, short duration incident. Use the GIS Map link or the list below of alternate facilities for an individual, short-term scenario. This option should be determined at the time of the incident taking into consideration duration of the incident, space availability and impact on other services.

Option A Addresses

Building Name	Address	Sq Ft
https://gis.cupertino.org/servicefinder/		
City Hall	10300 Torre Ave	23,040
Community Hall	10350 Torre Ave	6,000
Senior Center	21251 Stevens Creek Blvd	15,500
Sports Center	21111 Stevens Creek Blvd	16,750
Quinlan Community Center	10185 N. Stelling Rd	28,695
Service Center Admin Bldg.	10555 Mary Ave	7,100
BBF Retreat Center & Garage	21979 San Fernando Ave	1,790

Access to Option A Locations

DURING BUSINESS HOURS: The list of facilities above are open during business hours and can be accessed by speaking with the front desk at each facility.

AFTERHOURS: Once emergency response procedures have been followed, Priority 1 COOP functions will be resumed at the direction of the COOP Activation Team. This team has access to alternate facilities as needed.

Option B-Larger or Long-term Incident

Option B should be used if there is a larger scale incident that has affected multiple departments or buildings. The duration could be days or weeks depending on the incident. Reasons to use Option B may be but are not limited to, a major flood, large urban fire or an earthquake that has affected multiple departments or buildings.

Mission Essential Staff from	Relocate to	Notes/Comments
<h1>REDACTED</h1>		

The recommended priority use of continuity facilities is listed above but final determination of relocation is the decision of the City Manager or designee based on the COOP Activation Teams capabilities assessment and report. Only essential functions listed in this plan should be resumed during a COOP activation. Any staff who do not have essential functions listed in this plan should follow “non-essential staff” procedures as communicated in the activation notice.

Option C-Telework

Option C could be used in any event, particularly a pandemic like COVID-19. Option C would allow for a telework or work from home scenario. If employees have proper equipment (laptop, printer) and access (space, internet access) they may be asked to use Option C and work from home or from a location other than those listed in Option A and B.

The City of Cupertino has proactively prepared employees to work remotely. Eligible employees have been issued laptops with dual factor authorization policies standard for security. Telework will not be practical for some employee classifications. The City of Cupertino has a telework policy which should be referenced should further questions arise regarding this issue.

Appendix E – Continuity Communications

Continuity communication refers to the ability for personnel to communicate internally, and externally during an emergency.

Critical information systems used to accomplish essential functions during normal operations at the primary location must be accessible at the continuity location. For these systems to be accessible connectivity must be in place at the continuity location and system servers should be backed up at more than one location. Each department will coordinate with the IT Department on the specific technical support needed during COOP plan activation. If the communications infrastructure is affected, the telephone and voicemail systems could require 12–24 hours for restoration.

Communication System	Current Provider	Services Provided	Alternate Provider or Mode
<h1>REDACTED</h1>			

Appendix F – Vital Records, Systems & Vendors

Vital Records & Systems

To the extent possible, the City of Cupertino will provide for off-site storage of duplicate records and (out-of-state/out-of-area if possible) backup for electronic records and databases, also providing access to vital records and databases at the continuity facility.

Vendors and other agencies are often involved, at varying levels, in the activities of an essential function. It is important that the City knows which vendors or agencies will be available during a COOP activation. Vendors should provide information regarding their own continuity planning to ensure their ability to perform when an emergency arises.

Vital Record/ System	User	Dependent Process/ System	Location	Protection Method or Restoration Procedure	Alternate Equipment or System
<h1>REDACTED</h1>					

Appendix G – Devolution

Devolution is the capability to transfer statutory authority and responsibility for essential functions from the department's primary staff to another organization within the City or a partner organization from a neighboring city, the County, or the State, and to sustain that operational capability for an extended period. The City of Cupertino considers devolution a contingency plan that should only be executed when no other means of continuing essential function activities are available.

In certain circumstances, vendors may be contracted to assume responsibility for some essential functions. Refer to vendor contracts for details.

As part of activating this COOP plan, a designated team of knowledgeable staff should consider if or when essential functions should devolve. That designated team should consider the following:

- Identify what would likely activate or "trigger" the devolution option.
- Identify essential functions, define tasks that support those essential functions, and determine the necessary resources to facilitate those functions' immediate and seamless transfer to the devolution site.
- Include a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and who will have the authority to perform essential functions and activities when the devolution operation of the continuity plan is activated.
- Include such considerations as: Written program plans and procedures, budgeting and acquisitions, delegations of authority, interoperable communications, vital records management, and reconstitution capabilities.

Appendix H -- Reconstitution Activities

Reconstitution Level 1 (Operational Planning): The primary operating facility has suffered no damage or has been minimally damaged. Planning for this level of disruption focuses on returning operations to the primary operating facilities, which includes restoring normal operations with personnel, records, and equipment at the primary operating facility once the threat or disruption has ended. This level generally would last less than 30 days.

Reconstitution Level 2 (Short-Term Planning): The primary operating facility has been moderately damaged. Planning for this level of disruption focuses on moving operations to a temporary operating facility, which includes restoring normal operations with personnel, records, and equipment at a temporary operating facility. This level generally would last from one to six months.

Reconstitution Level 3 (Long-Term Planning): The primary operating facility has been severely damaged or damaged beyond repair. Planning for this level of disruption focuses on moving operations to a new or rebuilt operating facility, which includes restoring normal operations with personnel, records, and equipment at a new or rebuilt operating facility. This level generally will last six months or longer.

Reconstitution Levels 2 and 3 have extensive variables and considerations based on the type of disaster and damage done. Department Directors and other city decision-makers should use the 30-day period directly following the disaster to identify steps for Short- or Long-Term planning.

Level	Reconstitution Step	Responsible Staff	Dependencies/Comments/Notes
	Determine level of reconstitution needed		IT may use a weekend to bring systems up rather than disrupting a weekday schedule.
1	Bring vital records back online and update as needed		If temporary records have been kept manually during incident, incorporate information into vital records where needed. Internet and other enterprise systems must be available. Equipment (computers, printers, etc.) must be accessible.

Level	Reconstitution Step	Responsible Staff	Dependencies/Comments/Notes
1	Re-establish working relationships and schedules with vendors		Vendors need to demonstrate resiliency or restored capability.
1	Restore primary facility operations and communications		Building inspections must be satisfactory. Communications systems must be available.
1	Resume normal staffing		Staff must be released from disaster response tasks and available to return to work.
1	Resume normal/modified operations		Modify operations based on After Action reports and Improvement Plans.
2 or 3	Determine level of reconstitution		Adjust or modify Level 1 actions to fit the situation.
2 or 3	Determine personnel needed to participate in Short- or Long-term planning		Adjust or modify Level 1 actions to fit the situation.
2 or 3	Develop process to return to normal operations		Adjust or modify Level 1 actions to fit the situation.
2 or 3	Determine the order in which to move functions into the new or repaired facility		Adjust or modify Level 1 actions to fit the situation.
1, 2, or 3	Conduct hot wash and develop after-action report (AAR)		Hot Wash is a debrief to determine what went right and what needs improvement.
1, 2, or 3	Review findings and update plan		Review information gathered from the hot was and after-action report (AAR).
1, 2, or 3	Update improvement plan		Develop a plan for improving the process.

Appendix I -- Training and Exercise Log

Date	Training/Exercise	Responsible Staff	Outcomes/Comments
4/7/21	Initial Training	OEM	Training was provided to essential staff and management via Zoom.
4/14/21	Initial Exercise	OEM	Discussion-based exercise was provided to validate the plan. (see OEM for details and After-Action Report)

Appendix J – Plan Maintenance

Date of Review/Revision	Responsible Person	Changes Made	Comments/Notes

Note: The master hard copy of this plan is housed with the Office of Emergency Management. Soft copy of the plan can be accessed through the City’s shared file system. Major changes should be disseminated to all City staff.

Appendix K – Definitions

Activation – The implementation of a Continuity Plan, whether in whole or in part.

All-Hazards – The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

Continuity Communications – Voice, video, and data capabilities that enable the leadership and staff to conduct the mission Essential Functions of the organization.

Continuity Facilities – Refers to sites where Essential Functions are continued or resumed during a Continuity event.

Continuity Personnel – Those personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations.

Delegation of Authority – Identification, by position, of the authorities for making policy determinations and decisions. Generally, pre-determined delegation of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

Devolution – Devolution requires the transition of roles and responsibilities for performance of Essential Functions through pre-authorized delegation 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 is a Continuity option instead of or in conjunction with relocation in order to ensure the continued performance of Essential Functions.

Essential Functions – Essential functions are a subset of department functions that are determined to be critical activities. These Essential Functions are then used to identify supporting tasks and resources that must be included in the organization’s Continuity planning process.

Orders of Succession – Orders of succession are a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.

Reconstitution – The process by which surviving and/or replacement organization personnel resume normal organization operations from the original or replacement primary facility.

Telework – A work flexibility arrangement under which an employee performs the duties and responsibilities of such employee’s position, and other authorized activities, from an approved worksite other than the location from which the employee would otherwise work.