

# CONTINUITY OF OPERATIONS PLAN (COOP)

OMF - OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER (CAO)



06/30/2017

FINAL

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**NOTICE:** This document contains information pertaining to the deployment, mobilization, and tactical operations of OMF - Office of the Chief Administrative Officer (CAO) in response to emergencies. It is exempt from public disclosure under Oregon state law.

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## Plan Approval and Authorization

The undersigned acknowledge they have reviewed OMF - Office of the Chief Administrative Officer (CAO) and approve the contents and scope of the COOP.

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Thomas Rinehart  
Chief Administrative Officer, OMF

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Date

# I. INTRODUCTION

The mission statement as provided by the OMF - Office of the Chief Administrative Officer (CAO) is as follows:

Trusted partner, creating smart solutions for the City and our community.

## A. Purpose

This Continuity of Operations Plan (COOP) has been created for the OMF - Office of the Chief Administrative Officer (CAO), also referred to as CAO. The Continuity of Operations Plan establishes policy and guidance to ensure the execution of the mission-essential functions for the CAO in the event that an emergency threatens or incapacitates operations; and the relocation of selected personnel and functions of any essential facilities of the CAO are required. Specifically, this COOP is designed to:

- Ensure that the CAO is prepared to respond to emergencies, recover from them, and mitigate against their impacts.
- Ensure that the CAO is prepared to provide critical services in an environment that is threatened, diminished, or incapacitated.
- Provide timely direction, control, and coordination to the CAO leadership and other critical customers before, during, and after an event or upon notification of a credible threat.
- Establish and enact time-phased implementation procedures to activate various components of the "Plan".
- Facilitate the return to normal operating conditions as soon as practical, based on circumstances and the threat environment.
- Ensure that the CAO COOP is viable and operational, and is compliant with all guidance documents.
- Ensure that the CAO COOP is fully capable of addressing all types of emergencies, or "all hazards" and that mission-essential functions are able to continue with minimal or no disruption during all types of emergencies.

## B. Applicability and Scope

The provisions of this document apply to the CAO and its offices. Support from other organizations as described herein will be coordinated with the Chief Administrative Officer (Thomas Rinehart) as applicable. This document applies to situations that require relocation of mission-essential functions of the CAO as determined by the Chief Administrative Officer (Thomas Rinehart). The scope does not apply to temporary disruptions of service during short-term building evacuations or other situations where services are anticipated to be restored in the primary facility within a short period. The Chief Administrative Officer (Thomas Rinehart) will determine situations that require implementation of the COOP.

## C. Supersession

Until June 2017, the most recently adopted COOP document for OMF was created in 2013. Between 2013 and 2017, minor edits and updates have been made. In June 2017 OMF's Office of the Chief Administrative Officer (CAO) created its full COOP in BOLD.

## D. Authorities

- Federal Continuity Directive 1 (FCD1) - September 23rd, 2013 - Federal Executive Branch National Continuity Program and Requirements - Federal Continuity Directive 1 (FCD1) provides direction to all Federal organizations for developing continuity plans and programs. Continuity planning facilitates the performance of essential functions during all-hazards emergencies or other situations that may disrupt normal operations. The ultimate goal of continuity is the continuation of National Essential Functions (NEFs).
- Federal Continuity Directive 2 (FCD2) - September 18th, 2013 - FCD 2 provides direction that aids Federal Executive Branch organizations in identifying their Mission Essential Functions (MEFs) and candidate Primary Mission Essential Functions (PMEFs) and implement the requirements of FCD 1. It provides guidance to Federal executive branch departments and agencies for identification of their Mission Essential Functions (MEFs) and potential Primary Mission Essential Functions (PMEFs). It includes guidance and checklists to assist departments and agencies in assessing their essential functions through a risk management process and in identifying potential PMEFS that support the National Essential Functions (NEFs) - the most critical functions necessary to lead and sustain the nation during a catastrophic emergency. FCD2 provides direction on the formalized process for submission of a department's or agency's potential PMEFS that are supportive of the NEFs. It also includes guidance on the processes for conducting a Business Process Analysis (BPA) and Business Impact Analysis (BIA) for each of the potential PMEFS that assist in identifying essential function relationships and interdependencies, time sensitivities, threat and vulnerability analyses, and mitigation strategies that impact and support the PMEFS.
- Continuity Guidance Circular 1 (CGC1) - December 9th, 2013 - Continuity Guidance for Non-Federal Entities - Continuity Guidance Circular 1 (CGC1) in cooperation with the Department of Homeland Security and non-federal partners, CGC1 provides guidance to non-federal entities for the development of continuity plans and programs. Continuity planning facilitates the performance of essential functions during all-hazards emergencies or other situations that may disrupt normal operations. By continuing the performance of essential functions through a catastrophic emergency, the State, local, territorial, and tribal governments (non-Federal Governments entities or NFGs) support the ability of the Federal Government to perform National Essential Functions (NEFs), continue Enduring Constitutional Government, and ensure that essential services are provided to the Nation's citizens. A comprehensive and integrated continuity capability will enhance the credibility of our national security posture and enable a more rapid and effective response to, and recovery from, a national emergency.
- Continuity Guidance Circular 2 (CGC2) - October 31st, 2013 - Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions), provides additional planning guidance to assist non-Federal entities and organizations in identifying their essential functions. CGC2 also works to identify the relationships between these functions, as well as governmental and non-governmental agencies alike. Additionally, through the use of a systematic Business Process Analysis, Business Impact Analysis, and the development of risk mitigation strategies, CGC2 provides guidance to non-Federal entities to ensure the continued performance of these essential functions during and following a significant disruption to normal operations.
- Executive Order 13347 - July 22nd, 2004 - The Executive Order, *Individuals with Disabilities in Emergency Preparedness*, calls for the Federal Government to appropriately support safety and security for individuals with disabilities in all types of emergency situations through a coordinated effort among federal agencies.

- ADA Title II and III, including, but not limited to, US Code Title 42, Chapter 126:
  - *Title II: State and Local Government Activities* All activities of state and local governments, regardless of the entity's size or receipt of federal funding, are covered. Additionally, state and local governments are required to allow people with disabilities an equal opportunity to benefit from all programs, services, and activities (e.g. public education, employment, transportation, recreation, health care, social services, courts, voting, and town meetings). This includes relocating programs or otherwise providing access in inaccessible older buildings, and communicating effectively with people who have hearing, vision, or speech disabilities.
  - *Title III: Public Accommodations* This title covers businesses and nonprofit service providers that are public accommodations, privately operated entities offering certain types of courses and examinations, privately operated transportation, and commercial facilities. Public accommodations are defined as private entities that own, lease, lease to, or operate facilities. This includes restaurants, retail stores, hotels, private schools, convention centers, doctors' offices, homeless shelters, transportation depots, day care centers, and recreation facilities (e.g., sports stadiums and fitness clubs). Transportation provided by private entities is also covered.

## E. References

- National Response Framework (NRF), Second Edition, May 2013
- National Incident Management System (NIMS) - NRF Update August 18th, 2014
- Oregon State Emergency Operations Plan (SEOP)

## F. Policy

The CAO recognizes and acknowledges that the protection of its assets and business operations is a major responsibility to its employees and respective jurisdiction. Therefore, it is a policy of the CAO that a viable COOP be established and maintained to ensure high levels of service quality and availability. It is also a policy of the CAO to protect life, information, and property, in that order. To this end, procedures have been developed to support the resumption of time-sensitive business operations and functions in the event of their disruption at the facilities identified in this plan. The CAO is committed to supporting service resumption and recovery efforts at alternate facilities, if required. Likewise, the CAO and its management are responsible for developing and maintaining a viable COOP that conforms to acceptable insurance, regulatory, and ethical practices and is consistent with the provisions and direction of other CAO policy, plans, and procedures.

# **II. CONCEPT OF OPERATIONS (CONOP)**

## A. Objectives

The objective of this COOP is to ensure that a viable capability exists for CAO to continue essential functions across a wide range of potential emergencies, specifically when the primary facility is either threatened or inaccessible. The objectives of this COOP include:

- To ensure the continuous performance of essential functions/operations during an emergency.



- To protect essential facilities, equipment, records, and other assets.
- To reduce or mitigate disruptions to operations.
- To reduce loss of life, minimize damage and losses.
- To identify and designate principals and support staff to be relocated.
- To facilitate decision-making for execution of the COOP and the subsequent conduct of operations.
- To achieve a timely and orderly recovery from the emergency and resumption of full service to all customers.

## B. Planning Considerations and Assumptions

In accordance with continuity guidelines and emergency management principles/best practices, a viable COOP capability:

- Must be maintained at a high-level of readiness.
- Must be capable of implementation, both with and without warning.
- Must be operational no later than 12 hours after activation.
- Must maintain sustained operations for up to 30 days.
- Should take maximum advantage of existing local, State or federal government infrastructures.

## C. COOP Execution

This section outlines situations that can potentially lead to activation of the COOP due to emergencies or potential emergencies that may affect the ability of the CAO to perform its mission-essential functions from its primary and other essential facilities. This section also provides a general description of actions that will be taken by the CAO to transition from normal operations to COOP activation.

### **COOP Activation Scenarios**

The following scenarios would likely require the activation of the CAO COOP:

- The primary facility or any other essential facility of the CAO is closed for normal business activities as a result of an event or credible threat of an event that would preclude access or use of the facility and the surrounding area.
- The area in which the primary facility or any other essential CAO facility is located is closed for normal business activities as a result of a widespread utility failure, natural disaster, significant hazardous material incident, civil disturbance, or terrorist or military threat or attack. Under this scenario, there could be uncertainty regarding whether additional events such as secondary explosions or cascading utility failures could occur.

The following scenario would NOT require the activation of the CAO COOP:

- The primary facility or any other essential facility is temporarily unavailable due to a sudden emergency such as a fire, bomb threat, or hazardous materials emergency that

requires the evacuation of the facility, but only for a short duration that does not impact normal operations.

## **COOP Activation**

The following measures may be taken in an event that interrupts normal operations, or if such an incident appears imminent and it would be prudent to evacuate the primary facility or any other essential facility as a precaution:

- The Chief Administrative Officer (Thomas Rinehart) may activate the COOP to include activation of the alternate facility.
- The Chief Administrative Officer (Thomas Rinehart) will direct some or all of the COOP Teams to initiate the process of relocation to the alternate facility (see Sections II-D and II-F). The COOP Teams will be notified using the notification procedures outlined in Section IV of this document.
- The COOP Teams will initiate relocation to the alternate facility site and will ensure that the mission-essential functions of the closed primary or other impacted facility are maintained and capable of being performed using the alternate facility and available resources, until full operations are re-established at the primary/impacted facility.
- CAO staff members who do not have specific COOP assignments may be called upon to supplement the COOP Team operations.
- Representatives from other government or private organizations may also be called upon to support COOP operations.
- The COOP Teams and their members will be responsible for ensuring the continuation of the mission-essential functions of the CAO within 12 hours and for a period up to 30 days pending regaining access to the affected facility or the occupation of the alternate facility.

*\*\*\* Section IV of this document provides additional detail on the procedures that will be used for COOP activation and implementation.*

Incidents could occur with or without warning and during duty or non-duty hours. Whatever the incident or threat, the CAO COOP will be executed in response to a full range of disasters and emergencies, to include natural disasters, terrorist threats and incidents, and technological disruptions and failures. In most cases, it is likely there will be a warning of at least a few hours prior to an incident. Under these circumstances, the process of activation would normally enable the partial, limited, or full activation of the COOP with a complete and orderly alert, notification of all personnel, and activation of the COOP Teams.

Without warning, the process becomes less routine and potentially more serious and difficult. The ability to execute the COOP following an incident that occurs with little or no warning will depend on the severity of the incident's impact on the physical facilities, and whether personnel are present in the affected facility or in the surrounding area. Positive personnel accountability throughout all phases of emergencies, including COOP activation, is of utmost concern, especially if the emergency occurs without warning, during duty hours.

*\*\*\* Section II-I of this document provides additional information on warning conditions and related procedures.*

## D. Time-Phased Implementation

In order to maximize the preservation of life and property in the event of any natural or man-made disaster or threat, time-phased implementation may be applied. Time-phased implementation is used to prepare and respond to current threat levels, to anticipate escalation of those threat levels and, accordingly, plan for increased response efforts and ultimately full COOP activation and facility relocation. The extent to which time-phased implementation will be applied will depend upon the emergency, the amount of warning received, whether personnel are on duty or off-duty at home or elsewhere, and, possibly, the extent of damage to essential facilities and their occupants. The Disaster Magnitude Classification definitions may be used to determine the execution level of the COOP. These levels of disaster are defined as:

- **Minor Disaster** - Any disaster that is likely to be within the response capabilities of local government and results in only minimal need for state or federal assistance.
- **Major Disaster** - Any disaster that will likely exceed local capabilities and require a broad range of outside resource support including state or federal assistance. The State of Oregon Emergency Management Agency and the Federal Emergency Management Agency (FEMA) will be notified and potential state and federal assistance will likely be predominantly recovery-oriented.
- **Catastrophic Disaster** - Any disaster that will require massive state and federal assistance. State and federal assistance will involve response and recovery needs.

As described in Section II-C of this document, COOP activation applies to events or incidents impacting a facility where mission-essential functions are performed to the point that the facility is unable to continue to perform those functions for a duration that will affect normal operations. Using the Disaster Magnitude Classification above, it is possible that a minor disaster would not render a facility unusable. However, minor disasters can escalate into major disasters, and even into catastrophic disasters. Conversely, events that are of short duration and do not impact normal operations (e.g., require a building evacuation only) must also be handled as though they could escalate into a more serious situation. Time-phased implementation of the COOP is a way to be prepared for all levels of emergency/potential emergency scenarios that may or may not require relocation of the primary or other essential facility. This implementation method allows the individual(s) responsible for making decisions to be prepared to fully activate the COOP on very short notice, if necessary, but not prematurely activate the COOP for situations such as the building evacuation-only scenario described above. Listed below is a general summary of the sequence of events that can be followed using time-phased implementation of the COOP:

### **Phase I – Activation (0 to 12 hours)**

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

### **Phase II – Alternate Operations (12 hours to Termination)**

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

### **Phase III – Reconstitution and Termination**

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

*\*\*\* Section IV of this document covers more detailed, specific time-phased implementation procedures that will be followed during COOP activation and execution.*

### E. Critical Service COOP Staff

The CAO management and staff that relocate to the alternate facility must be able to continue operations and perform mission-essential functions for up to 30 days with resource support. Specific CAO management and staff will be appointed to serve on COOP Teams to support COOP activations and relocation. It is important that COOP Teams and corresponding responsibilities are established prior to COOP activations so team members can be trained on their team roles and responsibilities. Depending upon the nature and severity of the event requiring COOP activation, the roster and size of the COOP Teams may be adjusted by the Chief Administrative Officer (Thomas Rinehart) as necessary.

*\*\*\* Annex A provides a description of each COOP Team developed for the CAO COOP including each team member's role and contact information. Annex O provides a complete list of contact information of CAO staff and vendors.*

Because alternate facility space and support capabilities may be limited, staff may need to be restricted to those specific personnel who possess the skills and experience needed for the execution of mission-essential functions. Staff may be directed to move to other facilities or duty stations, or may be advised to remain at or return home, pending further instructions. Individuals may be used to replace unavailable staff or to augment the overall COOP response. COOP activation will not, in most circumstances, affect the pay and benefits of the CAO management and staff.

*\*\*\* Section IV of this document covers more detailed, specific time-phased implementation procedures that will be followed during COOP activation and execution.*

### F. Alternate Facility

The determination of 1) the appropriate alternate facility for relocation, and 2) whether to relocate the CAO to the alternate facility will be made at the time of activation by the Chief Administrative Officer (Thomas Rinehart); the decision will be based on the incident, threat, risk assessments, and execution timeframe. Arrangements should be made with the management of all pre-identified alternate facilities to appoint an Alternate Facility Manager who will be responsible for developing site support procedures that establish the requirements for receiving and supporting the staff of the CAO.

To ensure the adequacy of assigned space and other resources, all locations currently identified as alternate facilities and those being considered for alternate facility locations should be reviewed by the CAO management on an annual basis. The Chief Administrative Officer (Thomas Rinehart) and associated COOP Team Chiefs will be advised of the findings of this review and made aware of any updates made to the alternate facility details.

In conducting a review of an existing alternate facility to determine its adequacy for supporting the operation of mission-essential functions, the following should be considered:

- Ensure that the facility has sufficient space to maintain and support the CAO.

- Ensure that the facility, along with acquired resources, are capable of sustaining operations for performing mission-essential functions for up to 30 days.
- Ensure that the facility has reliable logistical support, services, and infrastructure systems (e.g., electrical power, heating/ventilation/air conditioning (HVAC), water/plumbing).
- Ensure that personal convenience and comfort considerations (including toilet facilities) are given to provide for the overall emotional well-being of staff.
- Ensure that adequate physical security and access controls are in place.
- Ensure that the alternate facility is not in the same immediate geographical area as the primary facility, thereby reducing the likelihood that the alternate facility could be impacted by the same incident that impacts the primary facility.
- Consider cooperative agreements such as Memoranda of Understanding (MOUs)/Mutual Aid Agreements with other agencies or contract agreements with vendors who provide services such as virtual office technologies.

*\*\*\* Annex B provides the location of the CAO alternate facility sites and additional information on alternate facility requirements.*

## G. Mission-Essential Functions

In planning for COOP activation, it is important to establish operational priorities prior to an emergency to ensure that the CAO can complete the mission-essential functions that are critical to its overall operation. The Chief Administrative Officer (Thomas Rinehart) and associated COOP Teams shall ensure that mission-essential functions can continue or resume as rapidly and efficiently as possible during an emergency relocation. Any task not deemed mission-essential must be deferred until additional personnel, time, or resources become available. CAO has identified a comprehensive list of mission-essential functions.

*\*\*\* Annex C provides a complete list of prioritized mission-essential functions identified for CAO.*

## H. Delineation of Mission-Essential Functions

To ensure that mission-essential functions referenced in Section II-G are effectively transferred to the alternate facility and continued with minimal interruption, it is imperative that each function have qualified staff and resources assigned to it. The CAO COOP should be formed with mission-essential functions in mind. As the COOP is developed, specific staff should be matched up to each of the mission-essential function(s) within the plan. These staff will be assigned to perform these specific mission-essential functions at the alternate facility during COOP activations. The staff working at the alternate facility must be able to ensure that mission-essential functions are carried out. In some cases, the number of staff assigned to the alternate facility may be limited due to lack of facility resources and/or reduced capacity.

*\*\*\* Annex C provides a complete prioritized list of mission-essential functions for CAO. Each mission-essential function includes a breakdown of estimated personnel requirements and estimated equipment requirements needed to ensure the continuation of that specific mission-essential function during COOP activations.*

## I. Warning Conditions

When planning and preparing for emergencies that may require activation of the COOP, a wide range of scenarios must be considered. Impending events such as hurricanes or winter storms

may provide ample warning for notification of staff and identification and pre-positioning of resources in preparing for possible COOP activation; other types of events such as earthquakes or terrorist events, may provide no warning.

- **With Warning** - It is expected that, in most cases, the CAO will receive a warning of at least a few hours prior to an event. This will normally enable the full execution of the COOP with a complete and orderly alert, notification, and/or deployment of the COOP Teams to an assembly site or the alternate facility.
- **Without Warning** - The ability to execute the COOP following an event that occurs with little or no warning will depend on the severity of the emergency and the number of personnel impacted. If the deployment of the COOP Teams is not feasible because of the unavailability or loss of personnel, including the Chief Administrative Officer (Thomas Rinehart), temporary leadership of the CAO will be passed to the CAO Deputy Chief Administrative Officer, as identified in Section II-J of this document.
- **Duty Hours** - If an event or incident occurs during work hours, which requires relocation of the primary facility, the COOP will be activated and available members of the COOP Teams will be deployed as directed to support operations for the duration of the emergency. Those individuals who do not have assigned roles in the COOP, will either be sent home or possibly used to provide support to the COOP Teams, if additional assistance is required.
- **Non-Duty Hours** - The ability to contact members of the COOP Teams at all times during duty hours or non-duty hours is critical for ensuring that the COOP can be activated quickly if needed. Procedures must be in place that account for notifying and mobilizing (if necessary) the COOP Teams on extremely short notice.

*\*\*\* Section II-L of this document provides additional information and procedures to be followed based on warning conditions. Section IV-C of this document provides staff activation procedures for duty hours and non-duty hours. Annex F provides detailed instructions regarding Alert Notification Procedures for the CAO.*

## J. Direction and Control

Lines of succession should be maintained by all leadership elements contained within the CAO to ensure continuity of mission-essential functions. Lines of succession are to be provided to a minimum depth of three positions at any point where policy and directional functions are carried out.

Authorized successors to the Chief Administrative Officer (Thomas Rinehart) are specified as follows:

1. Deputy Chief Administrative Officer - Carmen Merlo - CAO - CAO
2. Facilities Services Division Manager - David O'Longaigh - OMF - Facilities - Facilities Administration
3. Human Resources Director - Serilda Summers-McGee - OMF - Bureau of Human Resources - OMF-Bureau of Human Resources
4. Revenue & Financial Services Director - Jennifer Cooperman - OMF - Bureau of Rev & Fin Svcs - OMF-Bureau of Revenue and Financial Svcs
5. Chief Technology Officer - Jeffrey Baer - OMF - BTS - Director's Office

Each organizational element should pre-delegate authorities for making policy determinations and decisions. All such pre-delegations will specify what the authority covers, what limits may be placed upon exercising it, who (by title) will have the authority, and under what circumstances, if any, the authority may be delegated.

The Chief Administrative Officer (Thomas Rinehart) and/or their designee are responsible for ordering activation of the COOP. Members of the COOP Teams may be requested by the Chief Administrative Officer (Thomas Rinehart) to disseminate COOP guidance and direction during the activation and relocation phases. Pending the activation of the COOP, the COOP Teams Chiefs will monitor the situation and assist in the notification process, as necessary.

Once the COOP is activated, the appropriate officials should be notified and requested to provide any previously agreed upon assistance to the CAO.

*\*\*\* Annex D provides information regarding Lines of Succession. Annex E provides information regarding Delegations of Authority.*

### K. Operational Hours

During COOP contingencies, the Chief Administrative Officer (Thomas Rinehart) will determine the hours of operation for the COOP Teams and staff. Members of the COOP Teams must be prepared to support a 24-hour-per-day, 7-day-per-week operation, if needed.

### L. Alert Notification Procedures

If the situation allows for warning, staff may be alerted prior to activation of the COOP. In all situations allowing for an advanced alert, procedures should be in place and trained upon for effective notification to the CAO key staff members and appropriate officials.

The COOP Teams should be prepared for rapid deployment upon activation via special prearranged notification procedures. These instructions will denote explicit actions to be taken, including the location of the assembly site and/or the designated alternate facility location.

The Chief Administrative Officer (Thomas Rinehart) will direct the activation of the COOP. Upon activation of or notification to activate the CAO COOP, telephone, email, and other methods of communication designated by the CAO may be used to notify its key staff and personnel.

*\*\*\* Annex F provides complete details for Alert Notification procedures for the CAO.*

## **III. PROCEDURES**

### A. Personnel Coordination

Procedures should be in place to address any personnel issues that may arise among those individuals who will be responsible for implementing the COOP, as well as, those who do not have specific COOP roles; but may be called upon during COOP activation. Listed below are personnel resources and capabilities in place at the CAO to ensure that emergency and non-emergency staffs are prepared when disasters strike, either with or without warning:

- Communications Plan for emergency and non-emergency staff
- Health, safety, and emotional well-being of all employees and their families
- Pay status and administrative leave issues

- Medical, special needs, and travel issues

Issues will be managed by the Chief Administrative Officer (Thomas Rinehart) and based on the Policies and Procedures of the CAO.

## B. Vital Records and Resources

Vital records and resources identified as critical to supporting mission-essential functions have been identified within the COOP and will be maintained, updated, and stored in secure offsite locations. In addition, procedures will be developed to ensure that records are maintained and updated regularly. Procedures will also identify how these vital records and resources will be made available to personnel for use in completing mission-essential functions. Identified below are different categories of vital records and resources.

Vital records essential to the continued operation or reconstitution of the CAO during and after a continuity disruption may include:

- Emergency plans and directives
- Orders of succession (Annex D)
- Delegations of authority (Annex E)
- Staff roster (Annex O)
- Staffing assignments
- Records of a policy or procedural nature that provide staff with guidance and information or resources necessary for conducting operations during any emergency and for resuming formal operations at its conclusion

Vital records critical to carrying out the CAO legal and/or financial mission-essential functions and activities may include:

- Accounts receivables / Accounts payable documentation
- Contracting and acquisition files
- Personnel files / Human Resource Records
- Payroll documentation / Social Security documentation
- Retirement records
- Insurance records
- Property management and inventory records

*\*\*\* Annex G provides additional information on vital records and provides identification, location, and backup capabilities of CAO vital records necessary for performing mission-essential functions.*

## C. Pre-Positioned Resources

It is strongly encouraged that essential items, such as office supplies, equipment, data, vital records, and other critical resources be pre-positioned at the alternate facility or other off-site



location to facilitate relocation during COOP events. The pre-positioned resources should be carefully inventoried and regularly maintained by the Alternate Facility Manager or his/her designee to ensure that there is a clear understanding of what resources are identified as pre-positioned at the alternate facility and what additional resources need to be acquired during COOP events.

#### D. Drive-Away Kits

The Chief Administrative Officer (Thomas Rinehart) is responsible for providing guidance to staff on the necessity of Drive-Away Kits and the contents of these kits. Drive-Away Kits may contain items such as software, databases, forms, publications, and other necessary resources that can be stored in a manageable manner. Checklists need to be developed for the various Drive-Away Kits developed for CAO to help ensure the inclusion of all necessary contents.

It is strongly encouraged that essential items and data be pre-positioned at the alternate facility or other off-site location instead of being carried within Drive-Away Kits, because COOP Team personnel and staff may be at home when the order to relocate is given. Access to the Drive-Away Kits may be difficult or impossible. Items to consider including in these kits:

- State/local regulations; statutes and administrative codes
- Emergency plans/procedures
- List of positions to be filled and procedures needed to continue mission-essential functions
- Laptop(s) with necessary forms/plans/procedures installed
- Office supplies to support operations for the initial period of relocation.

In addition to “official” items carried in the Drive-Away Kits, each staff member relocating to the alternate facility should consider bringing appropriate personal items and changes of clothing for situations of relocation of great distances. In addition, staff should relocate with their CAO identification badge for entry into the alternate facility.

*\*\*\* Annex H provides additional information on specific Drive-Away Kits that have been developed for CAO and their contents.*

#### E. Telecommunications and Information Systems Support

Interoperable communications or the ability for the CAO staff to communicate with individuals internal and external to the organization is critical during COOP events. Internal and external communications that will be used within the CAO and its alternate facilities to communicate with officials, emergency response organizations, the media, and/or the public are identified in detail in Annex I.

Access to critical information systems that are used to accomplish mission-essential functions during normal operations from the primary facility should also be arranged for accessibility at the alternate facility. In order for these systems to be accessible, connectivity must be in place at the alternate facility and system servers should be backed up on a daily basis at more than one location. For the CAO, the OMF - Bureau of Technology Services maintains the information systems and ensures that the systems are backed up on a daily basis. In addition, the OMF - Bureau of Technology Services ensures that connectivity exists at the alternate facility. The OMF - Bureau of Technology Services will also provide systems technical support during COOP activations.

The telecommunications and information systems capabilities at the CAO alternate facility are sufficient for the performance of mission-essential functions under the COOP.

The following is a checklist that may be used for planning telecommunications and information systems requirements:

- Plans should address all three types of communication (internal, external, and mobile).
- Plans should include the development of telephone trees.
- Plans should consider use of a hotline numbers.
- Plans should consider radio communications using available staff with radios.
- Plans should recognize different needs ranging from a one-hour emergency to an extended emergency.
- Plans should consider the use of a communication center to serve as a hub for communication needs of all local users.
- Plans should strategize for situations in which all communications systems are unavailable.

At a minimum, all COOP Team Members should have cell phones and/or pagers.

*\*\*\* Annex I provides additional information on telecommunications and information systems.*

#### F. Transportation, Lodging, and Food

Policies and procedures should be developed that consider transportation, lodging, and feeding of staff working from the alternate facility. During COOP activations, staff members will likely prefer to use their individual vehicles for transportation to the alternate facility; however, in the event that they are not able to do so, an alternate transportation plan should be in place. Procedures for lodging and feeding arrangements should also be developed. All of the items mentioned above can be accomplished by arranging agreements with other agencies or non-profit organizations. Also, it is a good practice to have agreements with pre-identified private vendors to provide support on very short notice during COOP events.

The CAO has procedures that address food, lodging, and purchasing for COOP events.

#### G. Security and Access Controls

The Chief Administrative Officer (Thomas Rinehart) will ensure that all four types of security are addressed and in place at the alternate facility: operational, information systems/cyber, physical, and access controls. Due to the sensitive information contained in the COOP, the Chief Administrative Officer (Thomas Rinehart) will also ensure that distribution of the COOP is limited and that an account of those who have access to the plan is maintained.

The Chief Administrative Officer (Thomas Rinehart) will ensure the following:

- Plans and procedures shall establish a goal of duplicating the level of security established at the vacated primary facility to the alternate facility.
- Alternate technologies, including video technology, may be considered for security.

- Augmentation of security will be addressed, based on the emergency or threat, to include considerations for using local law enforcement, private vendors, or other resources.

*\*\*\* Annex J identifies security measures currently in place for CAO and provides guidelines for arrangements of security measures at alternate facilities.*

## H. Personal and Family Preparedness

All staff, including those individuals actively involved in COOP events or not officially assigned a role during COOP activations should be prepared for and aware of COOP activation procedures. To assure that all employees are prepared for COOP events, training should be a part of the CAO orientation for new staff and should be regularly conducted (at least annually) for all existing staff. The training should focus on preparing employees for situations in which they will not be able to work from their primary facility. The training should advise staff on how to be personally prepared by developing “personal go-kits” as well as emphasize the need for Family Disaster Planning to ensure families are prepared for all types of emergencies, including COOP activations.

*\*\*\* Annex K provides a Family Disaster Plan developed by the Federal Emergency Management Agency (FEMA) that can be used as a guideline for families to prepare for COOP events. It is suggested that these Family Disaster Plan guidelines be distributed to all CAO staff on an annual basis.*

## I. Site Support Procedures

Site support responsibilities are those tasks that must be conducted to ensure the readiness of the alternate facility and the continued functional operation of the facility during the entire duration of COOP activation. These responsibilities include ensuring that an alternate Facility Manager is appointed and that procedures are in place and are followed to ensure a smooth transition to alternate facility operations. These responsibilities also include a planned transition back to normal operations once the emergency situation has passed.

## **IV. ACTIVATION - PHASE I**

The following procedures are suggested as guidelines to follow for COOP activations. They may be adopted or modified as needed to fit with internal requirements. In general, the following procedures are to be followed in the execution of the COOP. The extent to which this will be possible will depend on the event, the amount of warning received, whether personnel are on duty or off-duty, and the extent of damage to the impacted facilities and their occupants. This COOP is designed to provide a flexible response to multiple events occurring within a broad spectrum of prevailing conditions. The degree to which this COOP is implemented depends on the type and magnitude of the events or threats.

### A. Alert and Notification Procedures

The CAO notification process related to COOP activation should allow for a smooth transition of the COOP Teams to an alternate facility in order to continue the execution of mission-essential functions across a wide range of potential events. Notification may be in the form of one of the following:

- A COOP alert to the COOP Team members that relocation is anticipated or is imminent.

- An announcement of a COOP activation that 1) directs the COOP Team members to report immediately to an assembly site or a designated alternate facility, and 2) provides instructions regarding movement, reporting, and transportation details to an assembly site or a designated alternate facility.
- Instructions to COOP Team members to prepare for departure and relocation to a designated alternate facility and instructions to staff.
- Upon receipt of a COOP alert from the Chief Administrative Officer (Thomas Rinehart) or a designated successor, staff alert and notification procedures (see Annex F) are initiated.

## B. Initial Actions

Based on the situation and circumstances of the event, the Chief Administrative Officer (Thomas Rinehart) will evaluate the capability and capacity levels required to support the current mission-essential functions of the impacted facility(ies) and, if selected, initiate actions for relocation to the appropriate alternate facility. These actions include measures to be taken in anticipation of COOP activation and actions to be taken upon COOP activation. Once COOP activation is initiated, procedures must be considered for both duty hours and non-duty hours.

In cases where COOP activation is anticipated, the Chief Administrative Officer (Thomas Rinehart):

- Notifies the designated alternate Facility Manager to prepare for the relocation of the impacted facility and to prepare the appropriate alternate facility for operations.
- Issues a COOP alert to the COOP Team Chiefs that relocation is anticipated. COOP Team Chiefs instruct their team members and personnel to prepare for COOP activation.
- Notifies emergency officials, if appropriate, that relocation of the facility is anticipated.

In cases where COOP activation is ordered:

- The Chief Administrative Officer (Thomas Rinehart) coordinates the immediate deployment of the COOP Teams to an assembly site or the designated alternate facility.
- The Chief Administrative Officer (Thomas Rinehart) notifies the designated alternate Facility Manager to immediately initiate relocation efforts of the impacted facility and to prepare the appropriate alternate facility for operations.
- The Chief Administrative Officer (Thomas Rinehart) provides instructions and guidance on operations and the location of the alternate facility.
- The Alternate Facility Manager provides regular updates to the Chief Administrative Officer (Thomas Rinehart) regarding the status of alternate facility activation/readiness.

The following notification procedures are initiated:

- The Chief Administrative Officer (Thomas Rinehart) notifies emergency officials, if appropriate, that relocation of the facility has been ordered and is in progress.
- All designated staff members (see Annex F – Notification Procedures) initiate their respective COOP notification cascades.

- Designated COOP Team members report to an assembly site or deploy to the designated alternate facility to assume mission-essential functions.
- All staff members who have established Drive-Away Kits ensure that they are complete, with current documents and equipment, and commence movement of the resources.
- As delegated in Annex A, COOP Team members assemble the remaining documents and other assets as required for the performance of mission-essential functions and begin preparations for the movement of these resources.
- All personnel and sections of the impacted facility or facilities should implement normal security procedures for areas being vacated.
- Security and other designated personnel of the impacted facility should take appropriate measures to ensure security of the facilities and equipment or records remaining in the building.

### C. Activation Procedures During Duty Hours

- The Chief Administrative Officer (Thomas Rinehart) notifies the COOP Team Chiefs of the event requiring activation of the CAO COOP.
- The Chief Administrative Officer (Thomas Rinehart) activates the COOP and notifies the appropriate alternate Facility Manager(s).
- Notification procedures identified in Annex F are conducted.
- The Chief Administrative Officer (Thomas Rinehart) directs members of the COOP Teams to begin movement to an assembly site or to the designated alternate facility immediately.
- The COOP Teams immediately deploy to an assembly site or a designated alternate facility to assume mission-essential functions.
- Personnel who do not have active COOP response roles may be instructed to go home or relocate to another specified location pending further guidance.
- Additional tasks identified above in Section IV-B that are not yet completed are completed in their entirety.

### D. Activation Procedures During Non-Duty Hours

- The Chief Administrative Officer (Thomas Rinehart) is notified that an event requiring COOP activation is anticipated or underway.
- The Chief Administrative Officer (Thomas Rinehart) then notifies the COOP Team Chiefs of the event requiring activation of the CAO COOP.
- The Chief Administrative Officer (Thomas Rinehart) activates the COOP and notifies the appropriate alternate Facility Manager.
- Notification procedures identified in Annex F are conducted.
- The Chief Administrative Officer (Thomas Rinehart) directs members of the COOP Teams to begin immediate movement to an assembly site or to the designated alternate facility.

- The COOP Teams immediately deploy to an assembly site or a designated alternate facility to assume mission-essential functions.
- Personnel who do not have active COOP response roles are directed to remain at home pending further guidance.
- Additional tasks identified above in Section IV-B that are not yet completed are completed in their entirety.

#### E. Deployment and Departure Procedures

The Chief Administrative Officer (Thomas Rinehart) will determine full or partial deployment to the designated alternate facility of any mission-essential functions that are critical to operations at the time the CAO COOP activation is ordered. This determination will be based on the severity of the event and the level of threat. The following actions establish general administrative procedures to allow for travel and transportation to the alternate facility. Specific instructions will be provided at the time a deployment is ordered.

COOP Team members will immediately begin deployment, taking with them all office Drive-Away Kits, if applicable, and their personal go-kits. Team members will most likely use privately-owned vehicles for transportation to the designated facility. Specific instructions will be provided at the time of activation.

All other personnel not designated to serve on COOP Teams at the impacted facility at the time of an emergency notification will be directed to proceed to their homes to await further instructions. At the time of notification, any available information will be provided regarding routes that should be used to depart the facility or other appropriate safety precautions. During non-duty hours, these personnel will remain at their homes pending further guidance.

#### F. Transition to Alternate Operations

Following the activation of the COOP and establishment of communications links with the Chief Administrative Officer (Thomas Rinehart) and COOP Teams at an assembly site or the designated alternate facility, the Chief Administrative Officer (Thomas Rinehart) orders the cessation of operations at the primary facility.

The Chief Administrative Officer (Thomas Rinehart) will then notify emergency officials, as appropriate, that an emergency relocation of the CAO facility is complete. The Chief Administrative Officer (Thomas Rinehart) will then provide information on the alternate facility location, including contact numbers.

As appropriate, government officials, media, outside customers, vendors, and other service providers are notified by the CAO Public Information Officer or other designated person(s) that the CAO primary facility has been temporarily relocated.

#### G. Site Support Responsibilities

Following notification that a relocation of the CAO facility has been ordered or is in progress, the appropriate alternate Facility Manager will implement the COOP Site support procedures and prepare to receive the COOP Teams within 12 hours.

## V. ALTERNATE OPERATIONS - PHASE II

### A. Execution of Mission-Essential Functions

Upon activation, the COOP Teams will begin providing support for the following functions:

- Ensure that mission-essential functions (see Annex C) are reestablished as soon as possible.
- Monitor and assess the situation that required the relocation.
- Monitor the status of personnel and resources.
- Establish and maintain contact with emergency officials, as appropriate, or other designated personnel.
- Plan and prepare for the restoration of operations at the impacted facility or other long-term facility.

### B. Establishment of Communications

The ability to communicate with internal and external resources during COOP events will be vital to the operations of the CAO. Internal and external resources could include CAO staff, partner organizations, emergency responders, vendors, the media, and/or the public.

The Chief Administrative Officer (Thomas Rinehart) in coordination with the OMF - Bureau of Technology Services will ensure all necessary and preplanned communications and information systems are established, adequate, and functioning properly. The OMF - Bureau of Technology Services will service and correct any faulty or inadequate communications systems. The OMF - Bureau of Technology Services personnel will ensure connectivity of information systems and will service any faulty or inadequate information systems.

*\*\*\* Annex I provides additional information on communications capabilities of the CAO.*

### C. COOP Team Responsibilities

A critical planning component within the CAO COOP is the development of COOP Teams and team member responsibilities. The COOP Teams can consist of internal staff to the CAO, as well as external staff, vendors, and/or other organizations that may assist during COOP events. For each COOP Team, team members are appointed and given specific instructions regarding their roles on the team. It's important that COOP Teams are developed prior to a COOP event so COOP Team members have awareness of their roles on these teams and can be trained on their responsibilities in preparation of potential COOP events.

The following is a list of COOP Teams and their team descriptions for the CAO COOP:

*\*\*\* Annex A provides a complete list of COOP Teams, team descriptions, team members, contact information, and team member roles.*

## D. Augmentation of Staff

- If it becomes evident that the COOP Teams cannot adequately ensure the continuation of mission-essential functions, the Chief Administrative Officer (Thomas Rinehart) will determine the additional positions necessary to maintain these functions.
- The Chief Administrative Officer (Thomas Rinehart) will identify additional staff, as available, who may be able to provide support.
- The Chief Administrative Officer (Thomas Rinehart) will then ensure that the identified positions are staffed with individuals who have the requisite skills to perform the tasks.
- The Chief Administrative Officer (Thomas Rinehart) will consider implementing agreements with outside resource support including Memoranda of Understanding/Mutual Aid Agreements with other organizations and contractual agreements with private vendors.

## E. Development of Devolution Plans

Devolution is the capability to transfer statutory authority and responsibility for mission-essential functions from an organization's primary operating staff and facilities to another organization's employees and facilities. Devolution planning supports overall COOP planning and addresses catastrophic or other disasters that render an organization's leadership and staff unavailable or incapable of performing its mission-essential functions from either its primary or alternate facilities.

If devolution is necessary, prioritized mission-essential functions are transferred to a pre-identified devolution organization. Direction and control of mission-essential functions is transferred to the devolution organization site and/or identified personnel.

Devolution planning involves several special issues:

- Personnel at the devolution site must be trained to perform the mission-essential functions to the same level of proficiency as the CAO personnel.
- Vital records, documents, and databases must be up to date and available at the devolution site.
- Communications and information management systems must be able to be transferred or accessible at devolution site.
- Delegations of authority planning must include senior personnel at the devolution site.

Should sufficient staff be unavailable to conduct the mission-essential functions of CAO, all of the affected operations will initiate the activation of pre-arranged devolution agreements. Devolution will be triggered when available staff determines that there are insufficient resources to maintain and carry out the CAO's prioritized mission-essential functions. At that point, the Chief Administrative Officer (Thomas Rinehart) or highest ranking CAO official available will institute devolution through the issuance of the Devolution Activation Memo, provided in Annex L. Available CAO staff will notify the devolution organization(s) that devolution is being initiated.

The following are pre-identified devolution organization(s) for the CAO:

Mayor of Portland

\*\*\* Annex C provides mission-essential functions identified for CAO. Annex E provides COOP



*Delegations of Authority. Annex L provides the pre-established Devolution Activation memo and specific guidelines for initiation of devolution of mission-essential functions.*

## F. Development of Plans for Reconstitution and Termination

The Chief Administrative Officer (Thomas Rinehart) or designee will develop Reconstitution and Termination Plans that will direct an orderly transition of all mission-essential functions, personnel, equipment, and records from the devolution organization to a new or restored facility. Plans and Schedules will include:

- Whether the original primary facility is re-inhabitable. If not, the plans will include recommendations of primary facility options.
- Construction needs for the primary facility re-occupancy, including remediation of safety issues.
- Estimated costs associated with construction and occupancy. Plans to include options for funding.
- Notification plans for COOP Teams and staff.
- Timeframe for construction completion and move-in.

The Chief Administrative Officer (Thomas Rinehart) will review and formally approve all plans and schedules. Upon approval, the Chief Administrative Officer (Thomas Rinehart) will issue a COOP Termination memo to the devolution organization(s) identifying the point of formal COOP Termination. The COOP Teams, as assigned, will oversee the Reconstitution and Termination process.

## **VI. RECONSTITUTION AND TERMINATION - PHASE III**

As soon as possible (within 24 hours) following a COOP relocation, the COOP Teams will initiate operations to salvage, restore, and recover the impacted facility, pending approval from any applicable local, state, and/or federal law enforcement organizations or emergency service authorities.

Reconstitution procedures will commence when the Chief Administrative Officer (Thomas Rinehart) determines that the emergency situation has ended and is unlikely to reoccur. Once this determination has been made, one or a combination of the following options may be implemented, depending on the situation:

- Continue to perform mission-essential functions at the alternate facility for up to 30 days.
- Begin an orderly return to the impacted facility and reconstitute full normal operations.
- Begin to establish reconstitution of normal operations at a different primary facility location.

### A. Procedures

Upon a decision by the Chief Administrative Officer (Thomas Rinehart) that the impacted facility can be reoccupied, or that a different location will be established as a new facility to resume normal operations, the following procedures will be followed:

- The Chief Administrative Officer (Thomas Rinehart) or designee will create and submit resumption plans for review and approval.
- Upon approval, the COOP Teams will initiate and oversee the orderly transition of all mission-essential functions, personnel, equipment, and records from the alternate facility to a new or restored facility.
- Non-assigned COOP Team personnel will be notified using the Alert Notification Procedures provided in Annex F that normal operations of the CAO are resuming and that they should report back to work.

## B. After-Action Review and Remedial Action Plan

An After-Action Review information collection process will be initiated by each COOP Team prior to the cessation of operations at the alternate facility. The information to be collected will, at a minimum, include information from personnel working during the COOP activation and a review of lessons learned to include processes that were effective and less than effective. The After-Action Review should provide recommended actions to improve areas identified as deficient or requiring improvement.

The information should be incorporated into a COOP Remedial Action Plan. Recommendations for changes to the CAO COOP and any accompanying documents will be developed and brought forth to the Chief Administrative Officer (Thomas Rinehart) and COOP Teams for review. The Chief Administrative Officer (Thomas Rinehart) and designated COOP planners for the CAO will review and implement changes to the COOP as required.

**ANNEX A**  
**COOP TEAMS AND RESPONSIBILITIES**



## **ANNEX B FACILITIES**

The following are Primary Facilities identified for the CAO:

Name / Location (Physical Address)	Resources Located at Primary Facility
<p><b>Primary Facility</b></p> <p><b>Congress Center</b>            1001 SW 5th Avenue            Portland, OR 97204</p> <p>Number of Staff: -</p> <p>Comments: PBOT - (Floor 4, 5, &amp; 6)            OMF/BRFS - Procurement (Floor 4)            OMF/BRFS - Treasury, Accounting, Grants, and Debt (Floor 22)            OMF/BIBS - Admin and Facilities (Floor 4,5)            Parks and Recreation (Floor 22)            OMF/CAO (Floor 22)            Building flyer: <a href="https://www.portlandoregon.gov/omf/article/626608">https://www.portlandoregon.gov/omf/article/626608</a>            Congress Center website:  <a href="http://thecongresscenter.info/main.cfm?sid=introduction&amp;pid=aboutcc">http://thecongresscenter.info/main.cfm?sid=introduction&amp;pid=aboutcc</a></p>	
<p><b>Primary Facility</b></p> <p><b>Data Center - Primary</b>            ViaWest Brookwood Data Center            23605 NW Huffman Street            Hillsboro, OR 97124</p> <p>Number of Staff: -</p> <p>Comments: This is the location of the new BTS Data Center. The secondary center (not operational as of Aug 2017) is Compark Data Center at 8636 S Peoria Street, Englewood, CO 80112.</p>	

Name / Location (Physical Address)	Resources Located at Primary Facility
<hr/>	
<b>Primary Facility</b>	
<p><b>Emergency Coordination Center</b>  9911 SE Bush Street  Portland, OR 97266</p> <p>Number of Staff: -</p> <p>Comments: Offices / EmergencyOps center</p> <hr/>	
<b>Primary Facility</b>	
<p><b>Portland Building</b>  1120 SW 5th Ave  Portland, OR 97204</p> <p>Number of Staff: 20</p> <p><u>Facility Manager:</u>  David O'Longaigh  w: 503-823-2039  c: 503-823-8498</p> <p>Comments: Contents/Equipment/Office/Retail</p> <p>See the requirements for alternate facilities as an attached document under Facilities</p> <hr/>	

The following are Alternate Facilities identified for the CAO:

Name / Location (Physical Address)	Resources Required at Alternate Facility
<p><b>Alternate Facility</b></p> <p><b>Emergency Coordination Center</b>            9911 SE Bush Street            Portland, OR 97266</p> <p>Comments: Offices / EmergencyOps center</p>	
<p><b>Alternate Facility</b></p> <p><b>telework</b></p> <p>Comments: Employees have computer access, VPN, and can work remotely.</p>	

\* Identify resources needed to continue the operation of mission-essential functions that have been pre-positioned at the alternate facility and those that will need to be transported to the facility. Examples of resources include office equipment/supplies, computers, chairs, tables, telephones, printers, and copiers.



## **Alternate Facility Operations**

The alternate facility should have pre-positioned resources to sustain operations for three days without resource support. The alternate facility will require installation of:

- Telephones
- Computers/LAN
- Fax machines
- Copiers
- Furniture

Setup of the alternate facility may require vendor and resource support to provide the labor and equipment to outfit the facility.

## **Memorandum of Understanding (MOU) Considerations**

The Chief Administrative Officer (Thomas Rinehart) will establish MOU(s) or pre-arranged contracts with Facility Managers and other organizations to provide basic support to the OMF - Office of the Chief Administrative Officer (CAO) during COOP events, including exercises, if needed.

## **Joint Facility Support Requirements**

The Chief Administrative Officer (Thomas Rinehart) or designee will be responsible for developing a coordinated support plan with the Facility Manager of the primary alternate facility. At a minimum, the plan will address the following items:

- Receiving, supporting, and relocating personnel at the alternate facility;
- Repositioning supplies and equipment at the alternate facility;
- Adequate logistical support;
- Adequate infrastructure;
- Adequate services;
- Capability of the facility to accept the COOP Teams and operations; and
- Capability of the facility to sustain COOP operations for a minimum of 30 days.

The details of the coordinated support plan will be incorporated as part of this annex.

## **Review and Update**

The Chief Administrative Officer (Thomas Rinehart) will conduct an annual review of space allocations at the alternate facility to ensure the adequacy of assigned space and other

resources.

### **Alternate Facility Selection Process**

The alternate facilities should be fixed facilities identified from existing city, state, or county facilities, or from leased facilities. The alternate facilities must be capable of supporting emergency operations in a safe environment, as determined by the geographical location of the facility, an assessment of the local threat, and the collective protection characteristics of the facility. The facility requirements, selection, and occupancy planning should be based on a worst-case scenario.

A list cataloging each facility and its capability and capacity will be used to assist in the selection process. The Chief Administrative Officer (Thomas Rinehart) is responsible for maintaining the facility list and ensuring the accuracy of the data. The facilities should be located in areas where the ability to initiate, maintain, and terminate operations will not be disrupted. The following considerations will be used in the selection of the alternate facilities:

- The ability to be operational not later than 12 hours after deployment and to sustain operations for up to 30 days.
- Number of personnel per shift required for accomplishing these functions for 30 days or until the emergency ends.
- Minimum amount of space needed to accomplish CAO functions under emergency conditions.
- Space Allocation Considerations - The following are Primary Facilities for CAO and their associated staff levels:

Congress Center  
Data Center - Primary  
Emergency Coordination Center  
Portland Building - Staff Level: 20

- As a guideline, Alternate facility locations should allow an average of 100 Square Feet of space per persons relocated. (Number of relocated people X 100 s.f. = total s.f. recommended at Alternate Facility).
- The distance from the threat area to any other facilities/locations (e.g., hazardous materials/nuclear power plants, areas subject to natural disasters or civil unrest).
- Facility construction must be such that it is uniquely resistant to natural disaster risk factors (e.g., tornadoes, hurricanes, floods).
- Access to essential resources such as food, water, fuel, medical facilities, lodging, and municipal services (e.g., fire, police).
- The availability of transportation and parking.
- Power requirements to support the Alternate Facility.

- Interoperable communications in sufficient quantity, mode, and media to effectively interface with critical customers, and organizations.
- Availability of existing equipment and furniture in the facility that can be used by CAO staff and COOP Teams.

### **Alternate Facility Acquisition**

It is suggested that a MOU should be established with the owner and/or Facility Manager of each potential alternate facility. Each MOU should include:

- Time period from notification of requirement to availability of facility for occupancy.
- Space and services to be provided.
- Provision for sole use of allocated space during the period of occupancy.

### **Alternate Facility Reevaluation**

Any Alternate Facility identified and rated by the CAO will be reevaluated annually for suitability and functionality. The annual review of the CAO COOP will include a review of the Alternate Facilities to ensure that the facilities still meet the current needs. Recommendations will become part of the remedial action process and any shortfalls in the equipment, maintenance, or improvement and modernization of the facilities will be incorporated into COOP revisions.

Provided below is additional information that can be used to determine alternate relocation capabilities during the planning phase:

- **HOT SITE** - A hot site is a building already equipped with processing capability and other services. Operational standby facilities require a subscription contract and charge various fees. Normally, a three-or five-year contract is negotiated and includes specific hardware configurations with detailed communications requirements, which must be updated when changes occur.
- **COLD SITE** - A cold site is a building for housing processors that can be easily adapted for use. Vendor contracts should be in place to make the facility operational in a short period of time.
- **REDUNDANT SITE** - A redundant site is a site equipped and configured exactly like the primary site.
- **RECIPROCAL AGREEMENT** - A reciprocal agreement is a formal agreement that allows for two organizations to back-up each other. The agreement is usually with an external organization. Although low development and maintenance cost are the principal advantage to this alternative, consideration must be given to establishing an agreement with an organization that will not be affected by the same disaster.
- **HYBRIDS**- Any combination of the above, such as having a hot site as a back-up in case a redundant or reciprocal agreement site is damaged by the same or a separate event.

**ANNEX C**  
**MISSION-ESSENTIAL FUNCTIONS**

## Mission-Essential Functions

Mission-Essential functions for the CAO have been identified and prioritized below. In addition to identifying each mission-essential function, the CAO has associated the personnel resources and vital record resources required to carry out each specific function. The performance of the highest priority mission-essential functions will need to be resumed as quickly as possible.

### Essential Functions for OMF - Office of the Chief Administrative Officer (CAO)

1. RTO - Immediate - 12 hours:

- Disaster Policy Council Participant  
Per City Code, the CAO is a member of the DPC, and so will participate in person or by phone as needed.
- Coordinate OMF Incident Communication to OMF staff  
Ensure effective two-way communication of incident-related information from Disaster Policy Council and PBEM to appropriate staff in OMF, and coordinate OMF staff/information to PBEM and DPC.
- Monitor and manage OMF situational status  
Track the ability of OMF to perform its essential functions during an incident, and work to ensure the continuity of those essential functions for the priority needs of the City and OMF.
- Manage OMF Core Leadership Team  
Provide leadership and management of the core leadership team (top-level management) of all OMF bureaus and divisions.

2. RTO - 12-72 hours:

- Continuation of functions listed under previous Tier(s) identified above
- Oversee OMF staff deployment  
Coordinate and prioritize the deployment of OMF staff to ensure its ability to continue to provide its essential functions for the priority needs of the City and OMF.

**TIER: 1: RTO - Immediate - 12 hours**

**FUNCTION: Disaster Policy Council Participant**  
Per City Code, the CAO is a member of the DPC, and so will participate in person or by phone as needed.

**PRIORITY:** # 1

**PMEF:** Yes

**TIER:** RTO - Immediate - 12 hours

**DEPARTMENT:** OMF - Office of the Chief Administrative Officer (CAO)

**PERSONNEL:** Rinehart, Thomas - Chief Administrative Officer; Merlo, Carmen - Deputy Chief Administrative Officer; Gibson-Hartnett, Susan - Policy Analyst, Sr;

Essential position and back-ups			
Primary position	1st back-up position	2nd back-up position	3rd back-up position
CAO	DCAO	Senior Policy Analyst	Policy Analyst

**VITAL RECORDS:** Email (Microsoft Exchange); Internet Access; portlandoregon.gov - Portland Online; Computer Workstations (and laptops); Telephone - cellular; Telephone - landline

**FACILITIES:** Portland Building; Emergency Coordination Center; Remote telework

**FUNCTION TYPE:** MGP

**FUNCTION:**

**Coordinate OMF Incident Communication to OMF staff**  
**Ensure effective two-way communication of incident-related information from Disaster Policy Council and PBEM to appropriate staff in OMF, and coordinate OMF staff/information to PBEM and DPC.**

**PRIORITY:** # 2

**PMEF:** Yes

**TIER:** RTO - Immediate - 12 hours

**DEPARTMENT:** OMF - Office of the Chief Administrative Officer (CAO)

**PERSONNEL:** Clodius, Jennifer - Management Analyst, Principal; Rinehart, Thomas - Chief Administrative Officer; O'Longaigh, David - Facilities Services Division Manager; Baer, Jeffrey -

Chief Technology Officer; Summers-McGee, Serilda - Human Resources Director; Cooperman, Jennifer - Revenue & Financial Services Director; Merlo, Carmen - Deputy Chief Administrative Officer

**VITAL RECORDS:** Email (Microsoft Exchange); Internet Access; portlandoregon.gov - Portland Online; Computer Workstations (and laptops); Telephone - cellular; Telephone - landline; Virtual Private Network (Remote access); OMF Staff Contact Information; Microsoft Office (Office 365)

**FACILITIES:** Portland Building; Emergency Coordination Center; Remote telework

**FUNCTION TYPE:** MGP

**FUNCTION:**

**Monitor and manage OMF situational status**  
**Track the ability of OMF to perform its essential functions during an incident, and work to ensure the continuity of those essential functions for the priority needs of the City and OMF.**

**PRIORITY:** # 3

**PMEF:** Yes

**TIER:** RTO - Immediate - 12 hours

**DEPARTMENT:** OMF - Office of the Chief Administrative Officer (CAO)

**PERSONNEL:** Rivera, Aaron - Business Operations Manager; Rinehart, Thomas - Chief Administrative Officer; Merlo, Carmen - Deputy Chief Administrative Officer; Clodius, Jennifer - Management Analyst, Principal; Gibson-Hartnett, Susan - Policy Analyst, Sr; Schnoor, Kathryn - Administrative Supervisor I; Smith, Ralph - Financial Analyst, Principal; O'Longaigh, David - Facilities Services Division Manager; Hillier, Lucas - Program Manager; Beck, Aaron - Business Operations Manager

**VITAL RECORDS:** Email (Microsoft Exchange); Internet Access; Computer Workstations (and laptops); Telephone - cellular; Telephone - landline; Telephone - satellite; Virtual Private Network (Remote access)

**FACILITIES:** Portland Building; Remote telework

**FUNCTION TYPE:** OP

**FUNCTION:**

**Manage OMF Core Leadership Team**  
**Provide leadership and management of the core leadership team (top-level management) of all OMF bureaus and divisions.**

**PRIORITY:** # 4

**PMEF:** Yes

**TIER:** RTO - Immediate - 12 hours

**DEPARTMENT:** OMF - Office of the Chief Administrative Officer (CAO)

**PERSONNEL:** Merlo, Carmen - Deputy Chief Administrative Officer; Gibson-Hartnett, Susan - Policy Analyst, Sr

**VITAL RECORDS:** Email (Microsoft Exchange); Internet Access; OMF Staff Contact Information; Computer Workstations (and laptops); Telephone - cellular; Telephone - landline; Telephone - satellite; Virtual Private Network (Remote access)

**FACILITIES:** Portland Building; Remote telework

**FUNCTION TYPE:** MGP

**TIER: 2: RTO - 12-72 hours**

**FUNCTION:**

**Oversee OMF staff deployment  
Coordinate and prioritize the deployment of OMF staff to ensure its ability to continue to provide its essential functions for the priority needs of the City and OMF.**

**PRIORITY:** # 1

**PMEF:** Yes

**TIER:** RTO - 12-72 hours

**DEPARTMENT:** OMF - Office of the Chief Administrative Officer (CAO)

**PERSONNEL:** Rivera, Aaron - Business Operations Manager; Rinehart, Thomas - Chief Administrative Officer; Merlo, Carmen - Deputy Chief Administrative Officer; Beck, Aaron - Business Operations Manager; Clodius, Jennifer - Management Analyst, Principal; Gibson-Hartnett, Susan - Policy Analyst, Sr; Hillier, Lucas - Program Manager; Schnoor, Kathryn - Administrative Supervisor I; Smith, Ralph - Financial Analyst, Principal; O'Longaigh, David - Facilities Services Division Manager

**VITAL RECORDS:** Email (Microsoft Exchange); Internet Access; OMF Staff Contact Information; Telephone - cellular; Telephone - landline; portlandoregon.gov - Portland Online; Computer Workstations (and laptops); Microsoft Office (Office 365); Virtual Private Network (Remote access)

**FACILITIES:** Portland Building; Alternate work sites, Remote Telework





**ANNEX D**  
**ORDERS OF SUCCESSION**

## **Orders of Succession for OMF - Office of the Chief Administrative Officer (CAO)**

The CAO has developed an Orders of Succession for all key positions held within the organization. Provided below is the title and name of each primary person currently holding each key position, followed by a list of designated successors. The successors are listed by title in order of precedence.

### **Chief Administrative Officer (Thomas Rinehart) - Order of Succession**

**Primary:** Chief Administrative Officer - Thomas Rinehart - OMF - CAO - CAO

1. Deputy Chief Administrative Officer - Carmen Merlo - CAO - CAO
2. Facilities Services Division Manager - David O'Longaigh - OMF - Facilities - Facilities Administration
3. Human Resources Director - Serilda Summers-McGee - OMF - Bureau of Human Resources - OMF-Bureau of Human Resources
4. Revenue & Financial Services Director - Jennifer Cooperman - OMF - Bureau of Rev & Fin Svcs - OMF-Bureau of Revenue and Financial Svcs
5. Chief Technology Officer - Jeffrey Baer - OMF - BTS - Director's Office

### **Deputy Chief Administrative Officer - Order of Succession:**

**Primary:** Policy Analyst, Sr - Susan Gibson-Hartnett - OMF - CAO - Strategic Projects and Opportunity Team

1. Management Analyst, Principal - Jennifer Clodius - OMF - CAO - Business Operations

### **Senior Policy Analyst - Order of Succession:**

**Primary:** Management Analyst, Principal - Jennifer Clodius - OMF - CAO - Business Operations

1. Administrative Supervisor I - Kathryn Schnoor - OMF - CAO - CAO

**ANNEX E**  
**DELEGATIONS OF AUTHORITY**

**MEMORANDUM**

TO:

FROM:

DATE:

SUBJECT: Delegation of Authority

---

ALL AUTHORITY HEREBY DELEGATED SHALL BE EXERCISED IN ACCORDANCE WITH APPLICABLE LAWS, RULES, BUDGET ALLOCATIONS AND ADMINISTRATIVE DIRECTIVES. THIS AUTHORITY CANNOT BE RE-DELEGATED.

To ensure continuity of operations for the CAO during continuity events, the following personnel are hereby delegated the authority to conduct the following assignments provided below.

---

**Authorized Signature:**

OMF - Office of the Chief Administrative Officer (CAO)

**ANNEX F**  
**ALERT NOTIFICATION PROCEDURES**

## Alert Notification Procedures

The Chief Administrative Officer (CAO) will be responsible for the initial communication to the key staff identified in the CAO's COOP

---

### **Alert Notification Procedures Office of the Chief Administrative Officer (CAO) Office of Management and Finance June 2017**

#### Description of CAO's Key Staff Groups

The two primary roles for the Office of the CAO in an emergency is to participate as a member of the Disaster Policy Council and to oversee management of the Office of Management and Finance.

The key staff identified in the CAO's COOP therefore constitute two distinct groups. One group is the OMF bureau directors that are direct reports of the CAO – the directors of the Bureau of Human Resources (BHR), the Bureau of Revenue and Financial Services, the Bureau of Internal Business Services, and the Bureau of Technology Services. In the event of an emergency, the CAO will be responsible for contacting any or all of these directors, depending on the nature of the emergency. Those directors are then responsible for contacting their subordinates.

Note: like the CAO, the Director of BHR is a member of the Disaster Policy Council and thus it is expected that the Director of BHR will be notified of an emergency directly by PBEM.

The second group of staff identified in the CAO's COOP are those key staff within the CAO's Office that are essential during an emergency. This includes staff within the Business Operations Division and the Policy Team. The CAO is responsible for contacting the two managers of these groups (Senior Business Operations Manager and Senior Policy Analyst) who are then responsible for contacting their respective subordinates.

#### Procedures for Contacting CAO's Key Staff

The "Call Sequence" uploaded in the File Archives illustrates who in the CAO's Office is responsible for contacting which staff, in the event of an emergency. Each staff person identified in the Call Sequence is responsible for maintaining an electronic and paper copies of:

- Contacts Report from BOLD
- The personal identifiable information (PII) contact sheet (attached as a file in BOLD) These two documents contain up-to-date contact information of each CAO key staff person.

#### Reporting to Work

Unless otherwise directed, each staff person identified as CAO's Key Staff is responsible for reporting to work at their usual work location.

---

For an illustration of the order of calling CAO's key contact staff, see the "Call Sequence" sheet attached in the File Archives under Alert Notification Procedures.



### KEY STAFF NOTIFICATION LIST

NAME / DEPARTMENT	PHONE NUMBERS	EMAIL ADDRESS
Elizabeth Ames OMF	Work: 503-823-4269 Cell Number: 503-575-6228 Additional Number: 503-575-6228	BETSY.AMES@PORTLANDOREGON.GOV
Aaron Beck OMF	Work: 503-823-5208 Additional Number: 503-331-1120	AARON.BECK@PORTLANDOREGON.GOV
Jennifer Clodius OMF	Work: 503-823-6806 Cell Number: 503-823-5946 Additional Number: 503-705-7384	JEN.CLODIUS@PORTLANDOREGON.GOV
Carmen Merlo CAO	Work: 503-823-5665	
Thomas Rinehart OMF	Work: 503-823-1182 Cell Number: 503-313-0896 Additional Number: 503-287-0722 Additional Number: 503-807-1863	TOM.RINEHART@PORTLANDOREGON.GOV
Aaron Rivera OMF	Work: 503-823-6861 Additional Number: 503-888-0166	AARON.RIVERA@PORTLANDOREGON.GOV

**ANNEX G  
VITAL RECORDS**

## **Vital Records**

The following checklist can be used when determining which vital records are critical to ensure continuation of mission-essential functions.

- Storage of duplicate records off-site.
- Back-up off-site of electronic records and databases.
- Pre-position vital records and databases at the alternate facility prior to deployment.
- The COOP should describe a maintenance program to assure the records are accurate, current, and frequently updated.
- Identifying vital records, systems, and data (hard copy and electronic) critical to performing functions.
- Assuring availability of emergency operating records.
- Ensuring back-up for legal and financial records.

## **Additional Recommendations**

Ensure backup copies of vital records and databases, both paper and electronic, are maintained, updated, and stored in a secure off-site location. The COOP identifies vital records, systems, and data (hard copy and electronic) critical to performing mission-essential functions. The COOP provides for ensuring availability of emergency operating records and ensuring back-up for legal and financial records. The CAO will maintain current copies of vital records essential to the continued functioning or reconstitution in a secure off-site location.

Included within the COOP are records having such value that their loss would significantly impair the CAO of conducting mission-essential functions, to the detriment of the legal or financial rights or entitlements of the organization or of the affected individuals. Examples of this category of vital records are:

- Accounts receivable/Accounts payable
- Contracting and acquisition files
- Official personnel files
- Social security documentation
- Payroll
- Retirement
- Insurance records
- Property management and inventory records

The following table identifies Vital Records required by CAO to complete mission-essential functions:

**Vital Record: Email (Microsoft Exchange)**

**Type:** Web-based

**Description:**

Critical Citywide communication and work management software.  
Most City business and services are conducted through e-mail.  
E-mail/Calendars provided via cloud-based Microsoft Office 365, a private, web-hosted service.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service, application and infrastructure.  
Supported by Production Services  
Microsoft Corp., Web-based, hosted service, with redundant, nationwide data centers.  
Access to Office 365 is not dependent on City-based networks, assets, or local applications

**Location and Accessibility of Vital Records:**

**Primary Location:** Other - Specify Location in Comments

**Backup Location:** Other - Specify Location in Comments

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

Microsoft Corp., Web-based, hosted service, with redundant, nationwide data centers.  
Access to Office 365 is not dependent on City-based networks, assets, or local applications.

**Recovery Point Objective (RPO):**

All data

**Recovery Time Objective (RTO) / Availability:**

24 hours

**Criticality:** High

---

**Vital Record: Internet Access**

**Type:** Web-based

**Description:**

Critical Citywide internet communication and data access capability. Most City business and services access web-based services and resources, such as the BOLD Planning Tool, and a number of critical web-based applications, such as Office 365, require internet connectivity.

Example uses: Emergency Management and Risk Coordination with Police and Fire for Safety considerations.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service and applications. Supported by BTS Communications , Production Services, Business Solutions

**Location and Accessibility of Vital Records:**

**Primary Location:** Other - Specify Location in Comments

**Backup Location:** Other - Specify Location in Comments

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

ViaWest Brookwood Data Center  
23605 NW Huffman St.  
Hillsboro, OR 97124

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

**Vital Record: SAP**

**Type:** Enterprise System / Database

**Description:**

Critical Citywide financial account management system used by bureau business operations staff to provide many services, including: personnel time keeping, procurements, billing, and payroll services.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service and applications.  
Supported by BES, Production Services, Business Solutions

**Location and Accessibility of Vital Records:**

**Primary Location:** Other - Specify Location in Comments  
**Backup Location:** Other - Specify Location in Comments

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

all bill and purchase order processing

**Recovery Point Objective (RPO):**

all data

**Recovery Time Objective (RTO) / Availability:**

24 hours

**Criticality:** High

---

**Vital Record: [portlandoregon.gov](http://portlandoregon.gov) - Portland Online**

**Type:** Web-based

**Description:**

Critical Citywide applications and data access capability.  
Most City business functions access City information services and resources, such as Payroll, CityLearner, and policies through the POG service portal.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service and applications.  
Supported by BTS Communications, Production Services, Business Solutions

**Location and Accessibility of Vital Records:**

**Primary Location:** Other - Specify Location in Comments  
**Backup Location:** Other - Specify Location in Comments

**Remote Accessible:** Yes

## **Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

emergency notices to public and employees on PoG home page,

### **Recovery Point Objective (RPO):**

most recent backup, up to 24 hours

### **Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

## **Vital Record: TRACKIT**

**Type:** Enterprise System / Database

### **Description:**

Citywide service request and asset management database.

### **Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service and applications.  
Supported by Production Services, Support Center

### **Location and Accessibility of Vital Records:**

**Primary Location:** Other - Specify Location in Comments

**Backup Location:** Other - Specify Location in Comments

**Remote Accessible:** Yes

## **Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

community uses TrackIT to report problems in the City

### **Recovery Point Objective (RPO):**

all data

### **Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

### **Vital Record: OMF Staff Contact Information**

**Type:** Electronic / Paper Records

**Description:**

This is a list of the contact information of key OMF employees. Having this list in electronic and paper form will enable the CAO and others in his office to reach these key employees as needed.

**Plans for Protection, Duplication, and Movement of Records:**

The document is updated periodically and maintained electronically, and printed out occasionally for the CAO and others to keep with them. Maintained by Administrative Supervisor.

**Location and Accessibility of Vital Records:**

**Primary Location:** Portland Building  
1120 SW 5th Ave  
Portland, OR 97204  
USA

**Format:** Electronic - Local Disk

**Backup Location:** Other - Specify Location in Comments

**Format:** Hard Copy - Paper

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

The back-up location is the paper (hard copy) of the list. BusOps staff is in the file archive under "Contacts".

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---



## **Vital Record: Computer Workstations (and laptops)**

**Type:** Technology Hardware

**Description:**

Critical BTS-supported endpoint computing devices used by all bureaus to access City information, resources, and applications. Workstations, laptops, and tablets are the primary workflow access and communications devices.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service and applications.  
Supported by Support Center

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

Most people are on work stations; approximately 10 laptops deployed, some shared.

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

## **Vital Record: Everbridge**

**Type:** Web-based

**Description:**

Countywide emergency notification platform. Internet, web access is required to access the service. Additional Needs Registry is part of Public Alerts which feeds into Everbridge. Used by PBEM Public and City internal notification capability. Examples: Water Boil, Flood notification, and incident response.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service, application and infrastructure.  
Supported by PBEM , Production Services

IGA for management of Additional Needs Registry is uploaded to Vital Records folder in File Archive.

**Location and Accessibility of Vital Records:**

**Primary Location:** Emergency Coordination Center  
9911 SE Bush Street  
Portland, OR 97266  
USA

**Backup Location:** To be Provided

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

OMF PIO sends emergency messages to City Hall and Portland Building staff.

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

immediate if there is a building-specific issue at City Hall or Portland building -- otherwise superceded by PBEM

**Criticality:** High

---

**Vital Record: Microsoft Office (Office 365)**

**Type:** Web-based

**Description:**

Critical Citywide communication and work management software.  
Most City businesses and services are utilize the Microsoft Office suite of applications: MS Word, Excel, PowerPoint, OneDrive, OneNote, etc.  
Office 365 is provided via a private cloud, web-hosted service.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service, application and infrastructure.  
Supported by Support Center, BTS Communications, Production Services

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

normal business usage

**Recovery Point Objective (RPO):**

all data

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

**Vital Record: Printer / Scanner / Copier / Fax**

**Type:** Technology Hardware

**Description:**

Critical BTS-supported information transmission devices used by all bureaus to communicate City information. Multi-function printer-scanner-copier-fax devices are primary digital transmission, workflow, and communications devices.

**Plans for Protection, Duplication, and Movement of Records:**

OMF-BIBS Printing & Distribution supported critical services and reproduction infrastructure. Supported by OMF-BIBS-Printing & Distribution

**Location and Accessibility of Vital Records:**

**Primary Location:** Other - Specify Location in Comments

**Backup Location:** To be Provided

**Remote Accessible:** No

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

normal business uses

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

**Vital Record: Shared File Servers (Files on Network Drives)**

**Type:** Enterprise System / Database

**Description:**

Critical Citywide workflow file storage and access system used by bureau business operations staff to provide many services, including: record keeping, project management, and records of communications.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service and resource.  
Supported by Production Services

**Location and Accessibility of Vital Records:**

**Primary Location:** Data Center - Primary

ViaWest Brookwood Data Center

23605 NW Huffman Street

Hillsboro, OR 97124

USA

**Backup Location:** Emergency Coordination Center

9911 SE Bush Street

Portland, OR 97266

USA

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

all data is stored on share drives

**Recovery Point Objective (RPO):**

all

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

## **Vital Record: Telephone - cellular**

**Type:** Communication-related

### **Description:**

Cellular phone service is vital for some operations. This is a third-party-based (wireless) service.

- \* Provides cellular, or wireless, tower-based telephone services for voice communications.
- \* Cellular service plans usually have 'digital data plans' that support data transmission services.
  
- \* Requires functioning core cell-tower and vendor infrastructure and authorized mobile equipment.

### **Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service, application and infrastructure.

Supported by BTS Communications, Production Services

Cellular devices are managed and maintained to City technology standards, including physical and information security standards.

City cellular contracts and technology support services are centralized to assure maximum service availability and usability.

Telephone - cellular is related to but distinct from 'Telephone - landline' and 'Telephone - satellite'.

\* Landlines require City owned and managed physical network connections

\* Cellular requires third-party carrier services, such as Verizon and AT&T, to provide services and connectivity (cell towers)

\* Satellite phones require specialized devices, contracts and access to satellite-based services. Most satellite phones do not provide much if any data services.

### **Location and Accessibility of Vital Records:**

**Primary Location:** Emergency Coordination Center

9911 SE Bush Street

Portland, OR 97266

USA

**Backup Location:** To be Provided

**Remote Accessible:** Yes

### **Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

fewer than 10 in CAO's office

### **Recovery Point Objective (RPO):**

contact information stored on cell phones and in cloud; text messages are stored in SMARSH

### **Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

**Vital Record: Telephone - landline**

**Type:** Communication-related

**Description:**

Phone service is vital for some operations. This is a land-line (wired) service.

- \* Provides telephone and VOIP-based services for voice communications.
- \* Requires functioning core phone-switching infrastructure and authorized desktop equipment.

**Plans for Protection, Duplication, and Movement of Records:**

Telephone systems are managed and maintained to City technology standards, including physical and information security standards.

In addition to City technology support services authorized third-party vendors are contracted to assure maximum service availability and usability. Supported by BTS Communications 'Telephone - landline' is related to but distinct from 'Telephone - cellular' and 'Telephone - satellite'.

- \* Landlines require City owned and managed physical network connections
- \* Cellular requires third-party carrier services, such as Verizon and AT&T, to provide services and connectivity (cell towers)
- \* Satellite phones require specialized devices, contracts and access to satellite-based services. Most satellite phones do not provide much if any data services.

**Location and Accessibility of Vital Records:**

**Primary Location:** Emergency Coordination Center  
9911 SE Bush Street  
Portland, OR 97266  
USA

**Backup Location:** Other - Specify Location in Comments

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

'Telephone - landline' is related to but distinct from 'Telephone - cellular' and 'Telephone - satellite'.

- \* Landlines require City owned and managed physical network connections
- \* Cellular requires third-party carrier services, such as Verizon and AT&T, to provide services and connectivity (cell towers)
- \* Satellite phones require specialized devices, contracts and access to satellite-based services. Most satellite phones do not provide much if any data services.

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

City critical

**Criticality:** High

---

**Vital Record: Telephone - satellite**

**Type:** Communication-related

**Description:**

Satellite phone service is vital for some operations. This is a specialized emergency telecommunications service.

\* Provides satellite-based telephone and limited data services for emergency communications.

\* Requires functioning core satellite-switching infrastructure and authorized equipment.

**Plans for Protection, Duplication, and Movement of Records:**

**Location and Accessibility of Vital Records:**

**Primary Location:** Emergency Coordination Center  
9911 SE Bush Street  
Portland, OR 97266  
USA

**Backup Location:** To be Provided

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

Tom Rinehart (CAO) has a satellite phone

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

## **Vital Record: Virtual Private Network (Remote access)**

**Type:** Web-based

### **Description:**

Critical Citywide remote network access capability.  
Many City businesses and services access City services and resources while away from the City's local networks. VPNs provide secure means of access to local network resources and applications.

### **Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service, application and infrastructure.  
Supported by BTS Communications, Production Services

### **Location and Accessibility of Vital Records:**

**Primary Location:** Data Center - Primary  
ViaWest Brookwood Data Center  
23605 NW Huffman Street  
Hillsboro, OR 97124  
USA

**Backup Location:** To be Provided

**Remote Accessible:** Yes

### **Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

telework, access to City servers

### **Recovery Point Objective (RPO):**

n/a

### **Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

## **Vital Record: WebEOC Infrastructure**

**Type:** Web-based



**Description:**

Citywide emergency operations center (EOC) incident management platform. Internet, web access is required to access the service.

**Plans for Protection, Duplication, and Movement of Records:**

BTS-supported critical service and applications.  
Supported by Production Services

**Location and Accessibility of Vital Records:**

**Primary Location:** Data Center - Primary  
ViaWest Brookwood Data Center  
23605 NW Huffman Street  
Hillsboro, OR 97124  
USA

**Backup Location:** To be Provided

**Remote Accessible:** Yes

**Accuracy and Currency of Records**

**Review/Update Date:** 06/26/2017

OMF PIO is a WebEOC admin

**Recovery Point Objective (RPO):**

n/a

**Recovery Time Objective (RTO) / Availability:**

immediate

**Criticality:** High

---

**Legend**

**Vital records, systems, and data** - Information, records, databases, procedures, and other information necessary to support mission-essential functions and sustain operations.

**Protection, duplication, and movement** - Identify policies in place to restrict how the information is guarded, procedures for duplication, how the information is backed-up and stored, and how the material is distributed.

**Location** - Where are the vital records/systems/data currently located? Where are the back-up records/systems/data located? Are records in electronic or hard copy format? Can records be accessed from an alternate site if the primary site is inaccessible?

**Accuracy and currency of records** - Are records up to date? On what date was the records/systems/data last reviewed/updated?

**ANNEX H  
DRIVE-AWAY KITS**

<i>Administrator Drive Away Kit</i>	<i>Quantities</i>
<b>Communication:</b>	
1. Cell Phone - Business and Personal	1
2. SAT Phone	1
<b>Equipment:</b>	
1. Laptop Computer	3
2. VPN token	3
<b>Forms:</b>	
1. Contact Numbers for CAO Key Staff (from BOLD report)	1
2. Personal Identifiable Information (PII) Contact Info for CAO Key Staff (attached as file in BOLD)	1
<b>Supplies:</b>	
1. Copy of Continuity Plan	1

**ANNEX I  
COMMUNICATIONS**

## **Communications**

The ability to communicate with internal and external resources during COOP events will be vital to the operations of the CAO. Internal and external resources could include CAO staff, partner organizations, emergency responders, vendors, the media, and/or the public.

The CAO has identified below the various modes of communication that currently exist and/or communications that must be arranged at an Alternate Facility. The communications are listed in order of priority and include a written description for each. Also, each communication item identifies whether the communication is for internal/external use, mobile, or if it requires any level of security measures.

### **Communications**

**ANNEX J**  
**SECURITY AND ACCESS CONTROLS**

## **Security and Access Controls for OMF - Office of the Chief Administrative Officer (CAO)**

### **SECURITY & ACCESS CONTROLS**

The following security and access control measures are in place to restrict access to the facility to employees and critical customers:

- Primary Facility
  - Congress Center - To Be Determined
  - Data Center - Primary - To Be Determined
  - Emergency Coordination Center - To Be Determined
  - Portland Building - To Be Determined
- Alternate Facility
  - Emergency Coordination Center - To Be Determined
  - telework - To Be Determined

### **COMMUNICATIONS AND INFORMATION SYSTEMS / CYBER SECURITY**

The following measures are in place to send and receive secure communications from the facility, as well as information systems and cyber security measures:

- Primary Facility
  - Congress Center - To Be Determined
  - Data Center - Primary - To Be Determined
  - Emergency Coordination Center - To Be Determined
  - Portland Building - To Be Determined
- Alternate Facility
  - Emergency Coordination Center - To Be Determined
  - telework - To Be Determined



**ANNEX K  
FAMILY DISASTER PLAN**

## **Family Disaster Planning for OMF - Office of the Chief Administrative Officer (CAO)**

The CAO understands the importance of personnel preparing their families for disaster events. The information below provides assistance to CAO personnel for developing Family Disaster Plans and encourages them to learn more about how to be prepared.

Disaster can strike quickly and without warning. It can force you to evacuate your neighborhood or confine you to your home. What would you do if basic services -- water, gas, electricity or telephones -- were cut off? Local officials and relief workers will be on the scene after a disaster, but they cannot reach everyone right away. Families can -- and do -- cope with disasters by preparing in advance and working together as a team. Follow the steps listed below to create your family's disaster plan. Knowing what to do is your responsibility for your best protection.

### **FOUR STEPS TO SAFETY**

#### **1. Find Out What Could Happen to You**

- Contact your local Red Cross chapter or emergency management office -- be prepared to take notes.
- Ask what types of disasters are most likely to happen. Request information on how to prepare for each.
- Learn about your community's warning signals: what they sound like and what you should do when you hear them.
- Ask about animal care after disaster. Animals may not be allowed inside emergency shelters due to health regulations.
- Find out how to help elderly or disabled persons, if needed.
- Find out about the disaster plans at your workplace, your children's school or day-care center, and other places where your family spends time.

#### **2. Create a Disaster Plan**

- Meet with your family and discuss why you need to prepare for disasters. Explain the dangers of fire, severe weather, and earthquakes to children. Plan to share responsibilities and work together as a team.
- Discuss the types of disasters that are most likely to happen. Explain what to do in each case.
- Pick two places to meet: 1. Right outside your home in case of a sudden emergency, like a fire. 2. Outside your neighborhood in case you can't return home. Everyone must know the locations address and phone number.
- Ask an out-of-state friend to be your "family contact." After a disaster, it's often easier to call long distance. Other family members should call this person and tell them where they are. Everyone must know your contact's phone number.

- Discuss what to do in an evacuation. Plan how to take care of your pets.

### **3. Complete this Checklist**

- Post emergency telephone numbers by phones (fire, police, ambulance, etc.).
- Teach children how and when to call 9-1-1 or your local Emergency Medical Services number for emergency help.
- Show each family member how and when to turn off the water, gas, and electricity at the main switches.
- Check if you have adequate insurance coverage.
- Teach each family member how to use the fire extinguisher and show them where it's kept.
- Install smoke detectors on each level of your home, especially near bedrooms.
- Conduct a home hazard hunt.
- Stock emergency supplies and assemble a Disaster Supplies Kit.
- Take a Red Cross first aid and CPR class.
- Determine the best escape routes from your home. Find two ways out of each room.
- Find the safe spots in your home for each type of disaster.

### **4. Practice and Maintain Your Plan**

- Quiz your children every six months so they remember what to do.
- Conduct fire and emergency evacuation.
- Replace stored water every three months and stored food every six months.
- Test and recharge your fire extinguisher(s) according to manufacturer's instructions.
- Test your smoke detectors monthly and charge the batteries at least once a year.

For more information on Family Disaster Planning, visit the Federal Emergency Management Agency's (FEMA) website for family disaster planning at [www.READY.gov](http://www.READY.gov).

**ANNEX L  
DEVOLUTION**

## **Devolution for OMF - Office of the Chief Administrative Officer (CAO)**

Devolution is the capability to transfer statutory authority and responsibility for mission-essential functions from an organization's primary operating staff and facilities to another organization's employees and facilities. Devolution planning supports overall COOP planning and addresses catastrophic or other disasters that render an organization's leadership and staff unavailable or incapable of performing its mission-essential functions from either its primary or alternate facilities.

If devolution is necessary, prioritized mission-essential functions are transferred to a pre-identified devolution organization. Direction and control of mission-essential functions is transferred to the devolution organization site and/or identified personnel.

Devolution planning involves several special issues:

- Personnel at the devolution site must be trained to perform the essential functions to the same level of proficiency as the CAO personnel.
- Vital records, documents, and databases must be up to date and available at the devolution site.
- Communications and information management systems must be able to be transferred to the devolution site.
- Delegations of authority planning must include senior personnel at the devolution site.

CAO's prioritized mission-essential functions which must be carried out in its devolution of authority are identified in Annex C of the CAO COOP.

Devolution Triggers, Process, Resources and their Availability, and Restoration guidelines are noted below. The pre-identified Devolution Memorandum is also included within this Annex.

### **Devolution Triggers**

Pre-devolution preparation begins when staffing levels in one or more critical areas are reduced by 40%. Critical areas are defined as: 1) leadership, 2) communication capabilities, 3) administrative support, and 4) prioritized MEFs. Pre-devolution preparation includes assessment of:

- Available devolution organizations
- Location and availability of resources and information needed to transfer critical operations to the devolution organization
- Approach to notify and train (as needed) devolution organization staff
- Prioritization of mission-essential functions necessary to provide continuity of operations during the devolution process

Once this assessment is complete, the intended devolution organization should be notified that devolution is likely and transfer of knowledge/resources necessary for devolution should begin.

The key staff members of the devolution organization should also be informed on how to access the CAO COOP information contained within [PortlandContinuity.com](http://PortlandContinuity.com).

Devolution is initiated through the issuance of the Devolution Memorandum. Organizational devolution is triggered when staffing levels are reduced by 60% in one or more critical areas.

### **Devolution Process**

The Chief Administrative Officer (Thomas Rinehart) is responsible for identifying devolution triggers and is responsible for deciding when devolution is necessary. The Chief Administrative Officer (Thomas Rinehart) is responsible for issuing the Devolution Memorandum and begin actually transferring responsibilities to the devolution organization.

Every attempt will be made to retain expertise and authority through all COOP Teams. All available COOP Teams will continue to work with and for the new devolution organization in carrying out COOP, devolution, and restoration/reconstitution duties.

### **Resources and Availability**

All resources necessary for devolution will be retained in CAO's on-line COOP and be made available via [PortlandContinuity.com](http://PortlandContinuity.com). The executives and support staff working on devolution will be given access to these resources, and will be trained in the use of available communication tools in advance of COOP activations.

### **Restoration (Pre-Event)**

Because the nature of a catastrophic event that would create the need for devolution is so difficult to predict and may have a wide array of circumstances to respond to, we cannot specify exact measures needed to recover and restore pre-event operations in advance. However, the devolution organization will work with the existing CAO staff to identify all actions needed to provide restoration to pre-event conditions. Reconstitution and termination plans as identified in the COOP are available and should be used by the devolution organization.

## MEMORANDUM

TO: Highest Ranking Official(s)/Mayor of Portland

FROM: Chief Administrative Officer (Thomas Rinehart)

OMF - Office of the Chief Administrative Officer (CAO)

DATE:

SUBJECT: Devolution of OMF - Office of the Chief Administrative Officer (CAO)

As of Date/Time, an emergency occurred that required the activation of the OMF - Office of the Chief Administrative Officer (CAO) Continuity of Operations Plan (COOP). As of Date/Time, the emergency has affected staffing to levels such that we can no longer carry out our prioritized mission-essential functions and maintain our mandated operations. In order to provide continuity of government operations within CAO, as of Time today I am hereby transferring mission-essential function responsibilities as identified in the CAO COOP to the Mayor of Portland. In addition, I am extending all delegations of authority of key actions and responsibilities to the Mayor of Portland. This delegation is effective as of Date/Time.

Thank you in advance for your assistance as we continue to provide critical services during this challenging time and work to restore full CAO operations. Access to all critical CAO COOP information, including mission-essential functions, delegation responsibilities, and personnel contact lists can be found at: [PortlandContinuity.com](http://PortlandContinuity.com). Username and password access to the COOP information within [PortlandContinuity.com](http://PortlandContinuity.com) will be provided under separate cover.

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**Chief Administrative Officer (Thomas Rinehart)**

**ANNEX M**  
**TESTING, TRAINING, AND EXERCISING /**  
**PLAN MAINTENANCE**



### **Testing, Training, and Exercising / Plan Maintenance**

- This plan will be reviewed annually or as required by statute by all CONTINUITY OF OPERATIONS PLAN Team members and approved by the Chief Administrative Officer (Thomas Rinehart).
- The Chief Administrative Officer (Thomas Rinehart) will ensure training of all CAO employees on the key aspects of this plan. This training will be conducted at new employee orientation and quarterly staff meetings.
- This CONTINUITY OF OPERATIONS PLAN will be assessed annually through tabletop or field exercises as required by law.
- Support plans and communications equipment will be tested annually as part of the Test, Training, and Exercises (TT&E).
- Equipment pre-positioned at Alternate Facilities will be tested annually as part of the TT&E program.
- The exercise will include a test of the alert and notification procedures within this CONTINUITY OF OPERATIONS PLAN, with and without warning, during duty and non-duty hours.
- The Chief Administrative Officer (Thomas Rinehart) or designee will identify and incorporate lessons learned and remedial actions from exercises or actual events into annual revisions of this CONTINUITY OF OPERATIONS PLAN
- Copies of AAR (After Action Review) reports will be placed in the File Archive of this system.

The CAO documents the past, present, and future events that support their Test, Training, and Exercise program for their CONTINUITY OF OPERATIONS PLAN. These events are documented below in chronological order starting with the most recent:

**ANNEX N  
FACILITY EVACUATION**

## **Facility Evacuation**

The purpose of this section is to provide specific directions to all staff in the event of an emergency requiring the evacuation of the following facilities.

### **Responsibilities**

The Chief Administrative Officer (Thomas Rinehart) shall identify a line of succession, and recognize a "Safe Room" for sheltering in place in the event that this becomes necessary.

The Chief Administrative Officer (Thomas Rinehart) shall be responsible for the following:

- Monitor the evacuation procedures and ensure that all employees are participating.
- Identify themselves to responding emergency personnel and provide any information or assistance, as requested.
- Station themselves outside the facility to receive employee check-off lists from Division Heads/Delegates and to coordinate with emergency personnel as necessary.

The Division Heads/Delegates shall be responsible for monitoring their sections as follows:

- Know the status of all assigned staff, (e.g. are they on site, in the field, or on annual leave).
- Ensure staff are trained in the evacuation procedures and in dealing with clients and staff who may become confused or panic in an emergency situation.
- Assign at least two alternate Division Head delegates and keep this assignment list current.
- Ensure all delegates are properly trained in their duties.
- Obtain checklists of staff accounted for and unaccounted for and report status to the Chief Administrative Officer (Thomas Rinehart) after evacuation.

Staff are responsible for the following:

- Ensuring handicapped employees and visitors are assisted from the facility.
- Staff with public visitors should exit the facility with the visitors.
- Staff must search for and insure that any clients who are in private rooms, restrooms, etc. evacuate with the staff immediately.

### **Evacuation Procedures**

Specific evacuation procedures for each of the facilities identified within this COOP are as follows:

- Primary Facility
  - Congress Center - To Be Determined
  - Data Center - Primary - To Be Determined
  - Emergency Coordination Center - To Be Determined
  - Portland Building - To Be Determined
- Alternate Facility
  - Emergency Coordination Center - To Be Determined
  - telework - To Be Determined

**ANNEX O  
CONTACTS ROSTER**

## OMF - Office of the Chief Administrative Officer (CAO) Contacts

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**ANNEX P  
PANDEMIC PLANNING**

## **EXECUTIVE SUMMARY**

### **1 TRANSMISSION OF DISEASE**

### **2 PANDEMIC INFLUENZA**

- 2.1 Pandemic Assumptions
- 2.2 Potential Impacts
- 2.3 Information Sources for Current Status
- 2.4 The Pandemic Risk Assessment

### **3 ORGANIZATION CONSIDERATIONS**

- 3.1 Implications for the Organization

### **4 PANDEMIC STRATEGIES**

- 4.1 Short-Term Strategy
- 4.2 Long-Term Strategy
- 4.3 Post-Event Recovery
- 4.4 Mission Essential Functions
- 4.5 Workforce Planning
- 4.6 Pandemic Action Items

### **5 PANDEMIC PLANNING RESPONSIBILITIES**

- 5.1 State, Local, Private Sector Relationships
- 5.2 Legal Preparedness
- 5.3 Communications
- 5.4 Human Resources Issues
- 5.5 Employee Education and Safety
- 5.6 Facility Maintenance
- 5.7 Technology Preparedness

### **6 PANDEMIC TEAM**

### **7 PLAN MAINTENANCE AND TESTING**

### **8 APPENDIX**

## **EXECUTIVE SUMMARY**

Epidemics, which are outbreaks of a disease that occur within a short period of time and in a defined region, have the potential to significantly affect an organization's operations and the health and safety of personnel and the general public. While many diseases could result in an epidemic, and could lead to a pandemic (an epidemic that occurs on a worldwide scale), this report places particular emphasis on preparedness for

outbreaks of influenza that could arise from avian influenza.

This Epidemic/Pandemic Annex has been created to identify key information that organizations should know when confronted with an epidemic. It also describes how an organization may be affected, and what measures can be taken to mitigate those effects. In addition to education, this annex provides guidance on preparing and developing a course of action should an outbreak occur.

Organizations should take the time and opportunity now to develop and implement strategies essential to maintaining functions in times of a pandemic. Organizations should also inform employees and other stakeholders that the organization is actively involved in planning for pandemic preparedness.

Short-term and long-term strategies for maintaining functions during an epidemic, when absenteeism among employees could be as high as 50 percent, will require enhanced continuity of operations plans that include extensive workforce planning to perform mission-essential functions with reduced staff levels. Seven planning elements are provided in Chapter 6 to assist organizations in accomplishing their short-term and long-term strategies, which will require continuous monitoring of recent developments as well as flexibility in implementation and response.

Unlike other disasters in which the period of disruption may last from weeks to months, an epidemic has the potential to disrupt operations from months to several years. The public health response to an epidemic will directly affect an organization's personnel and will require strong relationships with other partners, the cooperation of the public, and the leadership of the organization.

## 1 Transmission of Disease

From time to time, a pathogen for which the population has little or no immunity evolves or is introduced. If that pathogen is highly communicable or easily transmitted from person to person, and virulent, causing severe illness or death in a significant percentage of persons, a pandemic can infect millions of people and potentially causing destabilizing social disruption.

The United States has not experienced an extensive epidemic since 1918, when the "Spanish flu" pandemic swept the nation and the world. The Spanish flu of 1918 was not a highly virulent pathogen in terms of mortality - only 2.5 percent of those infected died - but it was highly communicable. As a result, a large percentage of the U.S. population fell ill; approximately one-half million Americans died, and during the waves of the pandemic essential public services were threatened.

Communicable diseases can be transmitted to humans in several ways however the ones that carry the potential to affect organizations and their personnel are listed below:

- Droplet transmission occurs when the pathogen is suspended in aerosolized droplets or mist expelled when an infected person coughs or sneezes. These tiny droplets can travel 3 to 6 feet and be inhaled by other persons, or can deposit themselves on mucous membranes around the eyes or mouth of uninfected persons.
- Airborne transmission occurs when a pathogen is suspended in the air in inhalable-sized particles that remain infectious and are subsequently inhaled through the nose or mouth. Such pathogens can also be transmitted by droplet transmission or contact transmission.
- Contact transmission occurs when an infected person has physical contact (e.g., shakes hands) with an uninfected person.
- Infectious respiratory droplets can be deposited on objects that other persons would likely touch with their hands (e.g., arms of chairs, door handles, documents, exhibits, restroom fixtures, desks, countertops, stair rails, elevator buttons, money, documents, receipts). When uninfected persons touch the contaminated surfaces or items and then rub their nose, mouth, or eyes, transmission may occur.

## 2 Pandemic Influenza

Influenza, also known as the flu, is a disease that attacks the respiratory tract in humans and differs from a viral "cold" in that it usually comes on suddenly and includes fever, headache, tiredness, dry cough, sore throat, nasal congestion, and body aches.

### 2.1 Pandemic Assumptions

The U.S. Department of Health and Human Services has created plans based on the following assumptions about pandemic disease:

- Susceptibility to the pandemic influenza will be universal.
- The clinical disease attack rate will be 30 percent in the overall population. Illness rates will be highest among school-aged children (about 40 percent) and the elderly. Among working adults, an average of 20 percent could become ill during a community outbreak.
- Risk groups for severe and fatal infections cannot be predicted with certainty. During annual fall and winter influenza season, infants and the elderly, persons with chronic illness, and pregnant women are usually at higher risk of complications from influenza infections.

- The typical incubation period for influenza averages two to three days. It is assumed this would be the same for a novel strain transmitted between people by respiratory secretions.
- Persons who become ill may shed virus and can transmit infection for one-half to one day before the onset of illness. Viral shedding and the risk for transmission will be greatest during the first two days of illness. Children will shed the greatest amount of virus, therefore are likely to pose the greatest risk for transmission.
- In an affected community, an outbreak will typically last about 6 to 8 weeks. At least two pandemic disease waves are likely. Following the pandemic, the new viral subtype is likely to continue circulating and contribute to seasonal influenza.
- The seasonality of a pandemic cannot be predicted with certainty. The largest waves in the United States during 20th-century pandemics occurred in fall and winter.

## 2.2 Potential Impacts

The impact of an actual pandemic cannot be accurately predicted, as it depends on multiple factors, including virulence of the virus, rate of transmission, availability of vaccines and antivirals, and effectiveness of containment measures.

An influenza pandemic could last from months to several years, with at least two peak waves of activity. According to the U.S. Department of Health and Human Services, the characteristics of an influenza pandemic that must be considered in strategic planning include the following:

- The fact that people may be asymptomatic while infectious.
- Simultaneous or near-simultaneous outbreaks in neighboring communities thereby limiting the ability of any jurisdiction to provide support, assistance, and mutual aid.
- Enormous demands on the health-care system.
- Delays and shortages in the availability of vaccines and antiviral drugs.
- Potential disruption of national and community infrastructure, including transportation, commerce, utilities, and public safety, due to widespread illness and death among workers and their families, as well as concern about ongoing exposure to the virus.
- Absenteeism across multiple sectors related to personal and family illness, fear of contagion, or public health measures to limit contact with others could all threaten the functioning of critical infrastructure, the movement of goods and services, and operation of organizations.

## 2.3 Information Sources for Current Status

**WHO** - The World Health Organization (WHO) describes six phases of increasing public health risk associated with the emergence of a new influenza virus that could pose a pandemic threat. Each phase recommends actions for national authorities and outlines measures to be implemented by the WHO, allowing for greater predictability of actions to be taken during the various phases of a pandemic.

For information about pandemics, the WHO phases, and the current worldwide status, please review the WHO website - <http://www.who.int>.

**CDC** - The Center for Disease Control and Prevention is the lead Federal government agency for pandemic planning. Up-to-date information about national planning as well as vaccines and antivirals can be found on the CDC website - <http://www.cdc.gov>.

## **2.4 The Pandemic Risk Assessment**

Based on the OMF - Office of the Chief Administrative Officer (CAO) COOP, the following information has been detailed specifically related to the risks and impacts of pandemic.

## **3 Organization Considerations**

Although the circumstances described above paint a dark picture, an organization, to the best of its ability, must strive to continue its functions and to provide services to its populations.

### **3.1 Implications for the Organization**

A challenge for the organizations will be to assist appropriate public health officials in protecting an organization's personnel and the public from transmission within the organization's facilities. However, given the large numbers of individuals who enter an organization's facilities each day, those facilities - like all other public facilities in which large numbers of persons interact and congregate - could themselves become a spreading center for the disease.

This raises a number of considerations for organizations, including:

- Significant numbers of persons who are necessary to the organization's mission-essential functions (e.g., organization staff, security personnel, IT staff, etc.) may be unavailable because of illness or death, possibly reaching from 30 to 50 percent of the workforce;
- Face-to-face contact between an organization's administrators and staff necessary for performing mission-essential functions may be dramatically limited or unavailable; and
- Facilities, infrastructure, utilities, and services may all be affected by a lack of adequate staffing caused by isolation, quarantine, illness, or death of those persons necessary for maintaining operations.
- Depending on the severity of the epidemic, an organization's administration may come under pressure as the disease causes attrition among employees, security personnel, IT, and maintenance personnel. To the extent that an organization relies on local law enforcement for security services, an additional concern is the possibility that, during an outbreak, law enforcement officers and security personnel may be reassigned to other critical law enforcement duties, thus resulting in a shortage of officers available to serve the organizations. In addition, state or local public health officers could close an organization's facility, or could quarantine or isolate an organization's personnel.

## **4 Pandemic Strategies**

Unlike other emergency situations, an influenza epidemic could seriously disrupt an organization's operations for an extended period, lasting approximately from months to several years. Therefore, both short-term and long-term strategies are necessary to manage the potential extent and duration of the impact.

Each organization's continuity of operations plan (COOP) should address the basic response to any disaster or emergency situation. Organizations lacking a continuity of operations plan or having an incomplete continuity of operations plan are encouraged to begin the plan development process immediately.

Given the unique challenges posed by an epidemic, the information and strategies discussed below are not exclusive, but rather are designed to enhance organizations' current emergency protocol.

### **4.1 Short -Term Strategy**

In the first 90 days of COOP activation, each organization should have the capacity to perform all mission-

essential functions as defined in the organization's COOP.

The organization's functions may need to be performed with limited staff, and when little to no face-to face contact is possible for an extended period. It is likely that an organization and its staff will be significantly affected by illness or even death.

As soon as possible, organizations should transition to full operations. If full operations cannot be initiated within 90 days of COOP activation, organizations should implement the long-term strategies described below.

## **4.2 Long-Term Strategy**

Within 90 days of COOP activation, organizations should have the capacity to perform all mission-essential functions when little to no face-to-face contact is possible for an extended period. An organization and its staff will be significantly affected by illness or even death.

When developing its specific response to an epidemic, an organization should consider these issues:

- Operations may be significantly impacted for months to several years.
- All organizations and their personnel should be prepared to cooperate with appropriate public health personnel on response and recovery efforts. Because state and federal resources may be stressed during an epidemic, organizations should be prepared to operate with only minimal support from state and federal agencies.
- Each organization should ensure that it has the capacity to perform its mission-essential functions, for the first 90 days of COOP activation.
- If full operations cannot be restored within 90 days, an organization should ensure that it has the capacity to perform other mission-essential functions as best it can.

## **4.3 Post -Event Recovery**

Recovery from an epidemic begins when an organization determines that it has adequate staff and resources to resume normal business functions. Once normal operations resume, the impact of the epidemic on organization's operations, staff, and other stakeholders should be assessed and an after action evaluation of the organization's response should be drafted. Such an evaluation can assist organizations in updating their continuity of operations plans as well as other emergency response plans, as appropriate.

## **4.4 Mission-Essentials Functions**

The OMF - Office of the Chief Administrative Officer (CAO)'s COOP has already identified its own detailed list of mission essential functions. With the unique impact that a pandemic presents, the OMF - Office of the Chief Administrative Officer (CAO) is continuing to further identify those key processes and identify those specific functions that pose significant risk for infection (e.g., extensive public interaction, cash management).

All of the Mission Essential Functions for the OMF - Office of the Chief Administrative Officer (CAO) are detailed and prioritized in the on-line PortlandContinuity.com planning system. Please refer to Annex C for the complete report.

## **4.5 Workforce Planning**

Because a pandemic may not spread evenly through the employee population, the OMF - Office of the Chief Administrative Officer (CAO) is working to create a skills inventory for those positions that are essential to continuing their mission-critical functions. The OMF - Office of the Chief Administrative Officer (CAO) is considering cross-training and skill development for employees who can assume responsibility for carrying out those functions, which may lie beyond their normal scope of responsibility. With this strategy, should key

personnel fall ill, it is perceived critical functions would then continue with minimal impact to operations. Employees should also be informed that they may be asked to exercise authority or perform duties outside their typical job responsibilities.

While developing this skills inventory, the OMF - Office of the Chief Administrative Officer (CAO) is paying particular attention to those positions for which cross-training is not feasible, such as those that require specialized training or qualifications. The OMF - Office of the Chief Administrative Officer (CAO) is considering contingency plans should the personnel in those positions be unavailable. This includes identifying, in advance, possible sources for temporary replacement personnel.

Aspects of workforce planning are detailed in the OMF - Office of the Chief Administrative Officer (CAO) COOP. Please refer to Annex A for COOP Teams and Responsibilities, Annex D for Orders of Succession, Annex E for Delegations of Authority, and Annex O for the complete Staff Roster.

#### **4.6 Pandemic Action Items**

The OMF - Office of the Chief Administrative Officer (CAO) has identified a set of action items that must be performed before, during and after a pandemic event. This list is constantly maintained as part of the overall COOP. The following list details these pandemic action items.

### **5 Pandemic Planning Responsibilities**

Effective advance planning by the OMF - Office of the Chief Administrative Officer (CAO) is essential for the ability to respond quickly to the outbreak of a pandemic. Below are planning elements that are being addressed by the OMF - Office of the Chief Administrative Officer (CAO). The individuals responsible for these roles and responsibilities constitute the Pandemic Team which will coordinate and overlap with the organization's COOP teams.

The HHS Pandemic Influenza Plan advises that the first step in planning should be establishing a coordinating committee to oversee pandemic preparedness planning and ensure integration with other emergency planning efforts. This Pandemic Team includes a cross-section of employees, rather than executive leadership exclusively. In the event that some or all of the executive team falls ill, the Pandemic Team can still function, providing critical leadership and real-time decision making.

In addition to a cross-section of employees, including those responsible for employee health and safety, the OMF - Office of the Chief Administrative Officer (CAO) is working to include other partners, as a way of alerting them to organization's plan and soliciting their input. Assuming the organization remain operational, it is essential that key partners be fully aware of the organization's efforts to ensure that all parties work together in accomplishing the organization's mission-critical functions.

It is recommended that the following roles and responsibilities are filled by the appropriate staff members.

#### **5.1 State, Local, Private Sector Relationships**

- Establish contact with local public health officials for coordination with local pandemic planning efforts.
- Ensure that the organization is aware of and possibly involved in current local preparedness and planning efforts.
- Ensure that the organization is kept informed of current local conditions and response efforts concerning a pandemic event.
- Develop mutual aid programs with neighboring organizations at the city, county, state, and/or private sector level.



## **5.2 Legal Preparedness**

- Ensure that the organization's leadership is aware of any existing laws, ordinances, and/or authorities of health officials.

## **5.3 Communications**

- Review the organization's internal and external communications plans to ensure that it is prepared to successfully communicate with leadership, personnel, and the general public under pandemic circumstances.
- Communicate regularly with employees regarding current status and expectations.
- Communicate regularly with any operational partners that factor into the organization's mission-essential operations for the distribution of event information and current status.
- Develop multiple channels and methods for disseminating information.
- Develop a Public Information Officer (PIO) capability for disseminating information to the public in an official manner.
- Communicate with Emergency Management regarding any incidents or developments related to pandemics.

## **5.4 Human Resource Issues**

- Review the organization's policies and guidance regarding Injury/Illness as it might pertain to pandemics.
- Review Sick leave policies and train staff regarding appropriate sections and changes.
- Review organization's insurance policies, including health, disability, salary continuance, business travel, and life insurance.
- Review current travel policies and consider modifications related to pandemic issues.
- Develop a policy for vaccines and antivirals for staff including priorities and distribution methods.
- Develop crisis support or employee assistance programs
- Develop plans for alternate work schedules where applicable.
- Develop policies for social distancing.
- Determine the effects of union contracts on emergency Human Resource policy development.

## **5.5 Employee Education and Safety**

- Assure staff that their health, safety, and well-being are a top priority during a pandemic.
- Develop an employee education and safety program and ensure that training is available to all appropriate staff.
- Instruct staff about Human Resource policies related to the pandemic or similar illnesses.
- Instruct staff about proper health and hygiene habits for minimize transmission including covering coughs, washing hands, and using hand sanitizer.

- Encourage staff to prepare at home with plans and emergency items including a two-week supply of food.

## **5.6 Facility Maintenance**

- Oversee heightened cleaning efforts in offices and common areas, such as frequently wiping doorknobs, railings, telephones, restrooms.
- Place hand sanitizer in communal locations for staff and visitors to use.
- Develop emergency kits of equipment and supplies for preventing the transmission of the disease including cleaning supplies, respirators, masks, and disposable gloves, etc.
- Use damp rather than dry dusting to avoid spreading dust particles.
- Move restroom wastebaskets next to restroom doors so that employees can use towels to open the doors.

## **5.7 Technology Preparedness**

- Identify technologies required for performing mission-essential functions and review the associated disaster recovery plans.
- Identify the supporting agency for each system (in-house, city/county, third party, etc) and contact them to discuss continuity of operations planning efforts.
- Review IT staffing levels and develop clear succession lines for key technical skills.
- Research options for telecommuting for key staff including hardware, software and security requirements.
- Research options for videoconferencing and teleconferencing.
- Research options for the increased use of Internet and telephone communications.

## **6 Pandemic Team**

The following person has been designated as the Pandemic Team Chief:

The following personnel are members of the OMF - Office of the Chief Administrative Officer (CAO) Pandemic Team. These personnel have specific roles and responsibilities for pandemic response and recovery.

## **7 Plan Maintenance and Testing**

The OMF - Office of the Chief Administrative Officer (CAO) is committed to this overall COOP process and has an on-going program for maintaining and improving this plan and the related strategies. This overall plan maintenance process includes a variety of testing, training and exercising. Please refer to Annex M for the complete report of these scheduled and completed events. All events specifically related to pandemic planning are highlighted below.

## **8 Appendix**

The PortlandContinuity.com has an on-line file archive for storing and accessing vital records related to the COOP. All files specifically related to pandemic planning are listed below. To access these files, log into PortlandContinuity.com and navigate to the File Archive section.

**ANNEX Q  
RISK ASSESSMENT**



**ANNEX R**  
**RISK SPECIFIC ACTION LIST**

## **Risk Specific Action List**

As part of the COOP development process, the CAO has identified specific risks that pose a threat to its operations. For each risk, the CAO has also developed a list of action items designed to either eliminate the risk from occurring or help reduce the effects of the risk to manageable levels. Provided below are the risks identified by CAO and a checklist of the actions for each risk.

**FILE ARCHIVE  
APPENDIX**



## **File Archive**

The CAO has access to a file archiving feature within the OMF - Office of the Chief Administrative Officer (CAO) - Continuity of Operations Plan system. The File Archive feature allows the CAO to upload files to the system and provides the CAO with access to these files from remote locations, as needed, during continuity events or disruptions. Provided below is a list of files that have been uploaded by the CAO to the OMF - Office of the Chief Administrative Officer (CAO) - Continuity of Operations Plan system. Each file listed below includes the name of the file, a description of the file, and the most recent date the file was uploaded.

### **Alert Notification Procedures**

**Call Sequence.CAO COOP 2017.pdf** - Call Sequence sheet - Date Uploaded: 6/30/2017

### **ConOps**

**OMF CAO ConOps 2 April 2018.docx** - ConOps 2 April 2018 - Date Uploaded: 4/04/2018

### **Contacts**

**Bus Ops Roster July 2017.rtf** - BusOps staff - Date Uploaded: 9/08/2017

### **Facilities**

**Alt Fac Requirements.CAO.xlsx** - Description of requirements for alternate facilities - Date Uploaded: 3/28/2017

### **Vital Records**

**City ANR Interagency Agreement - FINAL.docx** - IGA for Additional Needs Registry - Date Uploaded: 9/20/2017