DEPARTMENT OF HUMAN RESOURCES
CONTINUITY OF OPERATIONS PLAN
(DHR COOP)

For Activation if DHR Offices, Resources, Systems and/or Staff
Levels are Materially Impacted by a
Disaster, Emergency, Pandemic or Other Large-Scale Event

February 2013
Foreword

Many of the City and County of San Francisco’s (“City”) emergency management and homeland security challenges stem from the vulnerabilities associated with its geographic characteristics, population density and demographics, burgeoning tourist industry, and presence of nationally prominent landmarks. Although an earthquake is the City’s most likely catastrophic scenario, there are many events that could impact the City’s essential functions (e.g., bridge closure, pandemic flu, etc.). Today’s asymmetric threat environment and the potential for no-notice emergencies have increased the need to ensure that the City’s government and its departments can continue their essential functions across a broad spectrum of emergencies and situations.

In the event of a disaster or emergency, the Department of Human Resources (“DHR”), like many other City departments, will be expected to undertake additional pre-designated emergency-related responsibilities in addition to its existing obligation to continue its essential business operations. DHR’s resiliency and ability to meet its responsibilities in the event of a catastrophic scenario will depend on the level of its emergency preparedness and capability for continuity of its operations. Central to that will be the effectiveness of our procedures and protocols for meeting our obligations throughout all phases of response, recovery and business resumption efforts.

This Continuity of Operations Plan (“COOP”) serves as a guide to ensure that DHR has a framework in place to meet its mission-critical and disaster-related responsibilities in the likely event that its staff, resources, systems or offices are diminished or otherwise impacted by a disaster or emergency. This COOP has the capability for immediate or time-phased execution, and partial or full activation. The extent and duration of COOP activation will greatly depend on the time, duration and scope of the event, and its corresponding impact on DHR’s resources and the City’s response and recovery needs.

Note that the terms “catastrophic event,” “disaster” and “emergency event” are used interchangeably throughout this document, and refer to any actual or threatened existence of dangerous condition, including but not limited to: fire, flood, tidal wave, storm, epidemic, pandemic, riot, earthquake, terrorist act, or other similar public calamity presenting a threat to public safety and/or City resources. Further, there need not be a declared disaster or emergency event to activate this COOP, as it may be activated at any time that DHR’s resources are impacted by an event that limits its ability to undertake its general operational functions or disaster-related responsibilities.

This COOP is to be distributed to all persons with a designated leadership role as identified in the COOP, with review by those persons on no less than an annual basis.

For questions regarding this Plan, please contact Donna Kotake at 557-4811 or Donna.Kotake@sfgov.org.
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SECTION 1: INTRODUCTION

1.1 OVERVIEW OF DHR’S RESPONSIBILITIES

1.1.1 DHR’s Operational Responsibilities

The Department of Human Resources’ (“DHR”) mission is to recruit, engage, and develop the City and County of San Francisco’s (“City”) workforce to meet the expectations and service needs of San Franciscans.

In meeting its mission, DHR provides a broad scope of human resources services, including but not limited to: providing expert human resources consultation and direct services in all operational areas of the City’s human resources programs; evaluating, planning, and prioritizing departmental and City-wide recruitment and examination requirements; negotiating and administering the provisions of the many collective bargaining agreements between the City and labor organizations representing City employees, including any grievances arising from those provisions; engaging in legally-required meet and confer processes; investigating harassment and employment discrimination complaints; administering Workers’ Compensation benefits and other benefits related to industrial injuries and illnesses; coordinating citywide safety and injury prevention efforts; implementing citywide training and organizational development programs; managing succession planning programs; and administering and coordinating the Disaster Service Worker (“DSW”) Program to ensure that City employees understand their obligations as DSWs in a disaster.

1.1.2 DHR’s Pre-Designated Emergency Responsibilities

In addition to continuing some or all of its general operational functions in the event of a disaster, DHR is responsible for coordinating the acquisition, tracking, orientation/training and support of non-safety response personnel to ensure that the City has the “human resources” it needs in order to respond to, and recover from, a disaster. This may include notifying and deploying DSW employees in departments that do not have a pre-designated emergency role1 (most likely using the City’s two-way emergency communications system, known as “CORES”), and/or establishing one or more Emergency Volunteer Centers (“EVC”) in order to formally register and affiliate volunteers with the City as DSWs. DHR may also be required to establish an EVC in order to triage convergent unaffiliated volunteers to ensure that the City is not overwhelmed by individuals seeking to assist in response and recovery efforts.

Further, DHR may be required to staff one or more branches of the City’s Emergency Operations Center (“EOC”)2 for the purpose of fulfilling requests for additional personnel from City departments, relaying information about deployed DSW employees and DSW volunteers to the EOC, and advising the EOC Policy Group on personnel issues.

In coordinating these efforts, DHR will most likely need to establish its Department Operations Center (“DOC”). The DOC is responsible for the oversight and coordination of all of DHR’s emergency response responsibilities (e.g., ensuring the EVC is properly staffed and has the resources it needs, finding alternate or additional locations for DHR’s EVC, relaying information to the EOC about how many DSWs were deployed to a particular department or location, coordinating the deployment of

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1 There are approximately seventeen City departments with pre-designated emergency roles that may therefore also be required to activate their own Department Operations Center in the event of a disaster. Including DHR, they are: the Airport, Office of the Controller, DBI, DEM DPH, DPW, Department of Technology, SFFD, SFPD, Sheriff’s Department, GSA, HSA, Muni, Medical Examiner’s Office, PUC, Rec and Park. Examples of departments that do not have a pre-designated emergency role include the Ethics Commission, Commission on the Status of Women, Mayor’s Office of Housing, etc.

2 In the event of a disaster, the City will activate its EOC, with the oversight and assisted coordination of the Department of Emergency Management. The EOC serves as the central point for the City’s overall emergency management response coordination, including but not limited to: coordination of Citywide emergency response activities; prioritization and allocation of City resources; communications (both amongst City departments, and between the City and other jurisdictions or entities); damage assessment; dissemination of public information; and facilitation of actions necessary to protect the residents and property of San Francisco, etc.
City employees in non-DOC departments, relaying information from the EOC to the EVC about which particular skill sets are needed for the City's emergency response and recovery efforts, etc.).

1.2 PURPOSE OF THIS COOP

In the event of a disaster or emergency, DHR has an obligation to ensure the protection of its employees, properties, assets, information and essential business operations, in addition to meeting its designated pre- and post-emergency responsibilities. Given the City's asymmetric threat environment and the potential for no-notice emergencies, it is essential that DHR (as well as all City departments) have procedures and protocols in place that will enable us to meet these obligations throughout all phases of response, recovery and business resumption efforts in the likely event that our resources are impacted by a disaster, emergency or large-scale event.

Accordingly, the purpose of this Continuity of Operations Plan (“COOP”) is to ensure that in the event of an emergency, disaster or other large-scale event:

- DHR has a framework by which it can maintain or quickly restore its mission-critical functions and departmental operations in the event that its staffing and/or resources are diminished, limited, strained or otherwise impacted in an emergency or disaster;
- There are time-phased implementation procedures and protocols in place to ensure sufficient operational capabilities over short and extended periods of time, particularly in the event of limited staffing or resources;
- DHR is able to fulfill its designated obligations under the City’s Emergency Response Plan to ensure that the City has the human resources it needs for response and recovery efforts;
- DHR is able to share and coordinate communications with its stakeholders to ensure the continued exchange of important and/or critical information;
- DHR is able to provide the guidance and counsel to the City’s policy makers and other City departments on important human resources policies to ensure compliance with the City’s collective bargaining agreement provisions and all applicable local, state and federal laws;
- DHR is able to return to normal operating conditions as soon as practical, depending on the circumstances and threat environment; and
- Key DHR principals and support staff who are responsible for, or who have a role in supporting any of the above objectives, have been pre-identified and trained, and understand their obligations in the event that the COOP is activated.

1.3 APPICABILITY AND SCOPE OF THIS COOP

1.3.1 The DHR COOP has been developed with an all-hazards/all-events planning approach, which encompasses preparation and planning for any natural and man-made hazards, and ranges from planned events to large-scale disasters. These include, but are not limited to:

- Earthquake
- Flood, Tidal Wave or Tsunami
- Storm
- Power or Utility Outage
- Building Closure
• Bridge Closure
• Pandemic Flu
• Fire
• Explosion
• Hazardous Materials Release
• Any Other Event that Materially and/or Significantly Impacts Critical DHR Resources

1.3.2 This COOP may be activated at any time (including during non-business hours).

1.3.3 It governs all DHR offices (One South Van Ness and the TOPP Center) and any alternate or back-up sites established as needed, including DHR’s DOC(s) and EVC(s).

1.3.4 This COOP applies to all DHR employees, as well as all DHR divisions and units, specifically:
• Administration and Finance
• Classification and Compensation Unit
• Client Services Unit
• Equal Employment Opportunity ("EEO")
• Employee Relations Division ("ERD")
• Employment Information Services ("EIS")
• Information Services ("IS")
• Recruitment and Assessment Services ("RAS")
• Referral Unit
• Workers’ Compensation Division
• Workforce Development Division
• DHR Emergency Response Unit

1.4 PLANNING CONSIDERATIONS AND ASSUMPTIONS

The success of this COOP in achieving its stated objectives, goals and purpose depends on all of the following planning considerations and assumptions:

- DHR must be capable of immediate activation and implementation this COOP, both with and without warning, and regardless of the emergency, disaster or event.

- This COOP must be scalable, both in scope and duration, depending on the emergency, disaster or event.

- This COOP must be fully operational no later than 48 hours after its activation.

- This COOP must be able to sustain all DHR critical operations indefinitely within seven days of its activation.

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3 The DHR Emergency Response Unit is an ad hoc unit—active only during an emergency event or disaster for the purpose of fulfilling DHR’s emergency response and recovery responsibilities. Such responsibilities could include staffing the City’s EOC, establishing and staffing the DHR DOC, and establishing and staffing DHR’s EVC(s). In the event of a disaster or emergency, DHR employees who have been pre-designated to fill one of these roles will be reassigned from their regular duties to their Emergency Response Unit responsibilities as needed. Those individuals and their responsibilities and roles are defined in the DHR Emergency Response Plan, the DHR DOC Plan and the DHR EVC Plan. Upon reassignment, orders of succession shall follow as outlined in this COOP.
This COOP must enable DHR to take maximum advantage of existing local, state or federal government infrastructures.

There must be support from all levels of DHR management and supervision, including, and most importantly, the Human Resources Director and the COOP Management Team.

There must be no less than two layers of succession for each leadership position or key role under this COOP in the event that the primary individual is unable to assume and undertake their responsibilities under this COOP.

All DHR employees who have been identified as having a primary or secondary leadership position or key role must understand their obligations and responsibilities under this COOP, and agree to assume and undertake those obligations and responsibilities. This means that these individuals must review this COOP on no less than an annual basis.

1.5 AUTHORITIES AND REFERENCES

- Charter Section 3.100, Powers and Responsibilities [of the Mayor] (located at http://library.municode.com/index.aspx?clientId=14130&stateId=5&stateName=California)
- Charter Section 10.102, Department of Human Resources (located at http://library.municode.com/index.aspx?clientId=14130&stateId=5&stateName=California)
- Charter Section 10.103, Human Resources Director (located at http://library.municode.com/index.aspx?clientId=14130&stateId=5&stateName=California)
- Administrative Code Section 7, Disaster Council (located at http://library.municode.com/index.aspx?clientId=14131&stateId=5&stateName=California)
- California Government Code Section 3.100, et. seq., Disaster Service Workers (http://www.leginfo.ca.gov/cgi-bin/waisgate?WAISdocID=32199319893+3+0+0&WAISaction=retrieve)

1.6 SUPPORTING PLANS

- All Hazards Strategic Plan for the City and County of San Francisco (located at http://www.sfdem.org/ftp/uploadedfiles/DEM/PlansReports/StrategicPlan2008.pdf)
- DHR Emergency Response Plan (located in L:\SHARE\Emergency_Preparedness\Plans\ERP Plan)
- DHR DOC Plan (pending completion)
- DHR EVC Plan (pending completion)
SECTION 2: CONCEPT OF OPERATIONS

2.1 SITUATIONS REQUIRING COOP ACTIVATION

This Continuity of Operations Plan (“COOP”) should generally be activated whenever any event diminishes, depletes or otherwise impacts the Department of Human Resources’ (“DHR”) staff, systems and/or resources (and in turn, its operations), irrespective of whether DHR is required to undertake any of its emergency-related responsibilities or otherwise contribute to the City’s response or recovery efforts. In other words, activation of the COOP need not be in an emergency or disaster situation, it just needs to be some event that impacts DHR’s ability to perform its essential functions (e.g., something impacts the power supply at One South Van Ness for an extended period of time, the City’s email system goes down for a month, a flu sweeps through DHR resulting in significant extended absences etc.).

The litmus test in determining whether this COOP should be partially or fully activated is whether the event has a material impact, whether direct or indirect, on DHR’s staff, systems and/or resources, thereby impacting its ability to continue its normal operations and/or meet its emergency response-related obligations. If that is the case, then the COOP must be activated (whether executed in part or in full) in order to ensure the efficient reallocation of needed resources, that there is coordinated and continued communication with stakeholders, and that orders of succession are followed as outlined in this COOP so that there is continued effective leadership throughout DHR.

2.1.1 Scenarios that Would Likely Require the Activation of DHR’s COOP:

- DHR’s primary offices (or any other essential DHR facility) are closed for normal business activities as a result of an event or credible threat of an event that would preclude access to or use of the facility and the surrounding area for a significant period of time.

- The areas in which DHR’s primary offices (or any other essential DHR facility) are located are 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.

- The resources upon which DHR depends are depleted, non-functioning or are otherwise impaired, thereby impacting DHR’s ability to conduct its critical, normal day-to-day and/or disaster-related operations (e.g., the entire PeopleSoft system is unavailable for a significant period of time).

- DHR is required to redeploy its staff and/or resources during an emergency or disaster situation, thereby impacting its ability to conduct its critical, normal day-to-day and/or additional disaster-related operations.

- DHR’s staff is depleted for any other reason (e.g., the Bay Bridge is down and employees are unable to report to work, there is a pandemic flu which impacts employee attendance, etc.), thereby impacting DHR’s ability to conduct its critical, normal day-to-day and/or disaster-related operations.

2.1.2 Scenarios that would NOT likely require the activation of DHR’s COOP:

- A sudden emergency, such as a fire or hazardous materials incident requires the evacuation of a DHR building with little or no advanced notice, but for only a short duration (i.e., less than eight hours). Building evacuation, if required, should be accomplished as established in DHR’s Emergency Response Plan (“ERP”); NOT through the activation of this COOP. Please refer to the ERP for more information on evacuation and reporting protocols.
DHR’s primary facility or any other essential DHR facility is temporarily unavailable due to a sudden emergency such as a fire, bomb threat, or hazardous materials emergency that requires the short-term evacuation of the facility, but does not impact normal operations.

The area in which DHR’s primary facility or any other essential DHR facility is located is open for normal business activities and the DHR facility is habitable and operational, even though a widespread utility failure, natural disaster, significant hazardous material incident, civil disturbance, or terrorist or military threat or attack has occurred.

DHR employee attendance is low but the absences are temporary (e.g., the Bay Bridge is closed for only one day and 65% of staff are in attendance) and it does not materially impact DHR’s operations.

DHR’s resources are temporarily impaired (e.g., the City's or DHR’s email system is down for a few days).

2.2 ACTIVATION OF THE COOP AND DHR’S OTHER APPLICABLE EMERGENCY PLANS

2.2.1 Overview of the three other emergency plans that govern DHR’s emergency response protocols.

- DHR’s Emergency Response Plan (“ERP”) — the ERP is an all-hazards guide for emergency response, intended to ensure that all DHR employees are prepared and know how to respond in the event of a disaster or emergency. Specifically, it is intended to provide all DHR employees with general information regarding what their role may be as DHR employees in responding to and recovering from a disaster, what to expect and do if there is an emergency during business hours (including evacuation protocols) and non-business hours (including reporting instructions and communication protocols), and what is required of them as DHR employees and Disaster Service Workers. There is no need for it to be formally “activated”—all DHR employees are responsible for knowing the ERP and adhering to the protocols established therein at all times as emergency situations arise.

- DHR’s Department Operations (“DOC”) Plan—the DOC Plan geared is toward DHR managers and employees who have pre-designated roles and responsibilities in the DOC. The DOC Plan details the concept of operations, standard operating procedures (such as notification and communication), and identifies DHR DOC staff and describes their roles and responsibilities in the DOC. Generally, DHR will establish its DOC (and thereby activate its DOC Plan) any time that it is required to facilitate and/or coordinate the deployment of City employees for emergency response and recovery efforts; and/or any time DHR is required to activate one or more EVCs in order to ensure coordinated communication with the EVC and that the EVC has the resources it needs to operate.

- DHR’s Emergency Volunteer Center (“EVC”) Annex— the EVC Annex is an Appendix to both the DOC Plan and the City’s Emergency Volunteer Plan (to be published in 2013). The EVC Plan provides standardized operating procedures and protocols for activating and operating an EVC, and identifies DHR EVC staff and describes their roles and responsibilities in the EVC. Depending on the situation, DHR will establish one or more EVCs (and thereby activate its EVC Plan) as an operation of the DOC in order to register and possibly deploy convergent DSW volunteers as requested by the EOC. This will be done in partnership and consultation with the Department of Emergency Management and/or the Volunteer Center.

2.2.2 Activation of the COOP, EVC Plan and DOC Plan.

There is some interrelationship between the COOP, EVC Plan and DOC Plan.
The EVC Plan is activated only when DHR is required to establish an EVC. The DOC Plan will generally be activated whenever DHR is required to staff its DOC for the purpose of meeting its emergency-related obligations, depending on: 1) the need to establish an EVC and the coordination of EVC resource needs; 2) the need for coordination and communication between the EOC, DHR, EVC, other City departments and the EOC regarding personnel needs; and 3) the need to coordinate reimbursement for DHR’s emergency-related costs. The COOP Plan, however, must be activated whenever the DOC Plan is activated, since it will necessitate the reallocation of DHR resources and the implementation of alternate operations and chain of command protocols as established in the COOP.

2.3 ACTIVATION OF THE EMERGENCY RESPONSE UNIT

As indicated, the COOP must be activated, whether in part or in full, in the event that any of DHR’s emergency-related responsibilities require the redistribution of staff and resources from DHR’s other divisions. If that requires staffing the EOC, DOC or EVC, then the Emergency Response Unit shall be instituted, with the DOC Chief as the Team Leader for that Unit.

As indicated in Section 1 of this COOP, the Emergency Response Unit is an ad hoc unit, instituted only during an emergency event or disaster for the specific purpose of fulfilling DHR’s emergency response and recovery responsibilities. Upon activation of the Emergency Response Unit, DHR employees who have a leadership role in the EOC, DOC or EVC will be reassigned from their regular assignments to their pre-designated emergency assignments as needed; their regular DHR duties and responsibilities will be reassigned to other individuals based on the established orders of succession as outlined in Appendix 1.

2.4 TIME-PHASED STAGES OF IMPLEMENTATION

This COOP contemplates the need for time-phased stages of implementation in recognition of the fact that DHR’s resources and responsibilities will shift depending on the type, scope and significance of the emergency or disaster; the day (weekday or weekend) and time (during or after hours) of the emergency or disaster; the extent to which DHR’s resources have been impacted by the emergency or disaster; whether there was warning; the amount of time that has elapsed since the warning or occurrence of the emergency event or disaster; and what phase of emergency response the City and/or DHR is in (mitigation, response, recovery or restoration). The COOP shall be, and will remain, activated for the duration of time that a disaster or emergency event materially impacts DHR’s ability to support its continued normal operations and/or its emergency response-related responsibilities.

Time-phased implementation of the COOP provides a way to prepare for all levels of emergency/potential emergency scenarios. Section 3 of this COOP provides greater detail on time-phased implementation procedures. Listed below is a general description of the three phases of COOP implementation:

2.4.1 Phase I – Activation, Assessment and Planning (First 48 Hours)

During this phase, DHR will alert and notify as needed and appropriate all of its employees and other organizations identified as “critical stakeholders” that it has activated its COOP. Critical stakeholders may include the Mayor’s Office, Human Resources Staff in other City departments, the Civil Service Commission, the Controller’s Office, the Department of Emergency Management, the Emergency Operations Center (if activated), etc.

It is during this phase that essential staff will assess, or at least begin to assess, resource limitations, needs and availability to transition to alternate operations in accordance with this COOP to, at minimum, support and continue DHR’s mission-critical functions. However, if the event turns out to be less severe than initially anticipated, the time-phased COOP activation may terminate during this phase and DHR will return to normal operations. It is also during this phase that communication protocols and briefing schedules are established and communicated.
2.4.2 Phase II – Implementation of Plan to Reallocate DHR Resources and Work-Arounds to Support Alternate Operations and Functions (48 hours – As Long As Needed)

During this phase, DHR is focused on the continued reallocation of its resources to support and restore its functions and operations as needed and appropriate, establishing work-arounds to support alternate operations and functions, and developing plans to sustain operations over long periods of time and to increase functionality.

If DHR resources are likely to be restored in the near foreseeable future, essential staff develops plans to transition to Phase III – COOP deactivation.

2.4.3 Phase III – Reconstitution and Termination

Once DHR resources and normal operations are restored or are likely to be restored in the near future, DHR will implement plans to resume normal operations and deactivate the COOP. DHR employees and critical stakeholders who were notified of COOP activation will be notified of the COOP’s deactivation, and if appropriate, given instructions to facilitate the reconstitution of normal operations.

2.5 ESSENTIAL STAFF, RESPONSIBILITIES, AND ORDERS OF SUCCESSION AND DELEGATION

2.5.1 Essential Staff and Responsibilities

COOP Manager: The COOP Manager is responsible for the general oversight and coordination of all aspects of this COOP, including but not limited to: 1) ensuring that stakeholders are immediately notified of COOP activation as needed and appropriate; 2) coordinating all meetings and establishing communication protocols; 3) overseeing the reallocation and reassignment of DHR resources; 4) ensuring that each DHR division has developed plans for the immediate, ongoing and future restoration of operations; etc.

COOP Management Team: The COOP Management Team consists of the Human Resources Director, DHR Executive Managers and the COOP Manager. Further, if the DOC is activated, the DOC Chief shall also be a member of the COOP Executive Management Team. Refer to Appendix 2 for the COOP Management Team Job Action Sheet.

Upon initial COOP activation, members of the COOP Management Team are responsible for taking inventory of resources and identifying the impact on operations within their respective divisions. Throughout COOP implementation, COOP Management Team members are responsible for developing plans to sustain, at minimum, mission-critical functions within their own respective divisions for an extended period of time; such plans must also include recommendations for the eventual phased-in support of other DHR functions within their division based on level of criticality. Members are also required to identify resources within their own respective division (including but not limited to staff) that can be reassigned or reallocated to support more critical functions in other divisions. Refer to Appendix 3 for the COOP Management Resource Availability and Needs Assessment Form.

COOP Supervisorial Team: The COOP Supervisorial Team consists of all Workers’ Compensation Supervisors and all 09xx DHR managers who are not members of the COOP Management Team. Upon COOP activation, members of the COOP Supervisorial Team must be able to continue operations and perform mission-critical functions with resource support. Depending on the nature and severity of the event, members of COOP Supervisorial Team may be reassigned by the Human Resources Director to other roles and duties as necessary, and/or to assume roles and responsibilities of a member of the COOP Management Team in accordance with the orders of succession as

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4 It is important to note that, in light of likely staff shortages, individuals will be required to fulfill different or multiple roles in the event of a disaster.
identified in this COOP. In the event of COOP activation, members of the COOP Supervisorial Team will be required to implement components of this COOP that fall within their supervision to support loss of management capabilities across the organization, and/or to support components of this COOP as needed.

Professional Personnel: Upon COOP activation, Professional Personnel will support COOP operations at maximum feasible capacity as directed by the COOP Supervisorial Team. Professional Personnel may also be redeployed to other DHR programs or projects requiring assistance outside of their normal functional job duties.

Administrative/Support Personnel: Upon COOP activation, Administrative/Support Personnel will be responsible for providing support across the organization for key operations such as payroll, vital records maintenance, customer support, database management and similar functions. Administrative/Support Personnel may also be redeployed to other DHR programs or projects requiring assistance outside of their normal functional job duties.

Emergency Response Unit: Members of the Emergency Response Unit are responsible for assuming their designated emergency-related responsibilities in the EOC, DOC and/or EVC. All members of the Emergency Response Unit are responsible for ensuring that appropriate orders of succession are followed upon their reassignment. All members of the Emergency Response Unit are responsible for reporting to their respective Chief. Refer to Appendix 4 for a list of employees who are members of the Emergency Response Unit.

Emergency Response Unit Management Team: The DHR DOC and EVC Chiefs, the EOC Human Resources Branch Chief and the DHR representative of the EOC Policy Group are known as the “Emergency Response Unit Management Team.” Upon reassignment, orders of succession shall follow as outlined in this COOP. All members of the Emergency Response Unit Management Team shall report to the DOC Chief, who in turn reports to the COOP Manager. All members of the Emergency Response Unit report directly to the DOC Chief, who in turn reports directly to the COOP Manager.

2.5.2 Delegation of Authority

The Human Resources Director has ultimate authority over all policies, work practices, procedures, rules and guidelines that govern the day-to-day operations of DHR. The Director may delegate any or all authorities granted to him/her to the Managing Deputy Director, Chief of Policy, Employee Relations Director, or any DHR employee as circumstances dictate.

This process of delegation of authority extends to the lowest level of supervisory personnel, and may be in effect for both normal day-to-day operations, and for emergencies. [Individuals are required to carry out his/her role until relieved of their duty in accordance with this COOP].

2.5.3 Orders of Succession

Authorized successors to the Human Resources Director (Director) are as follows:

In the event that the Director is unable to assume and execute the duties and functions of his/her position, the Managing Deputy Director will assume the authority and responsibility to execute those duties and functions. In the event that the Managing Deputy Director is unable to assume and execute the duties and functions of the Director, the Equal Employment Opportunity Director will assume the authority and responsibility to execute the duties and functions of the Director. In the event the Equal Employment Opportunity Director is unable to assume and execute the duties and functions of the Director, the Workforce Development Director will assume the authority and responsibility to execute those duties and functions. In the event the Workforce Development Director is unable to assume and execute the duties and functions of the Director, the Client Services Manager will assume the authority and responsibility to execute the duties and functions of the Director. In the event the Client Services Manager is
unable to assume and execute the duties and functions of the Director, the Employee Relations Director will assume
the authority and responsibility to execute the duties and functions of the Director.

Further, each division within DHR has a specified order of successions to ensure continuity of essential functions and
division direction. Each division must have a minimum depth of three (3) successors for any position where policy
and directional functions are carried out. Again, refer to Appendix 1 for additional information on the orders of
succession.

2.6 COMMUNICATIONS

2.6.1 Methods of Communication and Communication Protocols

Regular forms of communication may be impacted, diminished or made completely unavailable in the event of a
disaster or emergency event depending on its size, scope, and nature. DHR may need to contact and communicate
with its employees during non-business hours and at off-site locations at any time. It is therefore essential that DHR
ensure that its employees and employees with emergency leadership roles are aware of those various forms of
communication and response protocols that are in place.

There are a number of modes of communication that may be available in the event of a disaster or emergency event
(see Section 2.6.2 for a list of available modes of communication). Regular primary modes of communications should
be utilized as much as possible (in-person meetings, phones, fax and email). However, in the event that alternate
forms of communication are necessary, they must be able to: 1) support performance of essential functions; 2)
provide capability to communicate within DHR; 3) provide capability to communicate with the Emergency Operations
Center (“EOC”), other Department Operations Centers (“DOC”), other departments and other DHR stakeholders; and
4) ensure access to data, systems and services.

The COOP Manager will determine the methods of communication to be used and communication protocols
depending on the circumstances

2.6.2 Various Modes of Communication

- In-Person Meetings—this is the obvious and most preferred form of communication, particularly if the situation
  requires direct on-site communications.

- Loudspeaker Announcements—DHR is equipped with three bullhorns (Michael Cerles and Tom Hoffman (each
  have one in their office) and one additional bullhorn located near the southwest exit of DHR; and the building has
  the capacity to make announcements over the loudspeaker system, should DHR or the building need to
  communicate with all employees at once.

- Email—work email is ideal in the event that documents must be transmitted or if more than one person needs to
  be included in a communication and it is impractical to convene a meeting. Moreover, most individuals with
  emergency leadership roles in DHR have a BlackBerry, iPhone or other electronic device. However, email
  communication is vulnerable in the event that the City’s email communications are also impacted by the event. A
  possible alternative is to use personal email accounts, though the ability to do so may depend on whether the
  internet is available.

- Phone—this is also ideal when quick, remote or off-site communications are required. Moreover, this will be the
  primary mode of contacting employees during non-business hours if phone lines are functioning.
    - Work Phones—employees may be contacted directly on their work numbers or through the DHR
      broadcasting system. It is likely that work phone lines will be overwhelmed in the event of a disaster or

emergency event, since there is limited trunk line space at One South Van Ness Avenue. This means that we will most likely be unable to make or receive phone calls from inside or outside the building, so DHR should be prepared to depend on other forms of communications.

- Personal Cell Phones—again, most DHR employees have cellular phones but some may be reticent to engaging in this form of communication due to limitations on minutes.

  - Fax—although email is the preferred method to transmit documents, many agencies and unions still rely primarily on faxes; moreover, fax may be the only available alternative to transmit documents or communications in the event that the City’s email system is down. The ability to fax, of course, will depend on the phone systems functioning and the availability of electricity. See Appendix 5 for an updated list of all DHR fax numbers.

  - Instant Messaging—Novell Instant Messaging – To send a pop-up written message to all work computers simultaneously.
    - Right-Click on red N in lower right hand corner;
    - Left-Click on Novell Utilities;
    - Left-Click on Send Message;
    - Left-Click on To Users;
    - Double-Click on the server you need to send message to…
      - DHR-MIS-03SVR = All HRD users except for EAP and Workers Comp.
      - DHR-MIS-07SVR = EAP and WCD users
    - Type the message; you are limited to a certain amount of characters, so keep it short and to the point.
    - Select names of users by clicking on the name once. Hold down the CTRL key while selecting names.
    - When you are finish with selecting names, click on SEND.

  - Text—text is ideal when quick, remote or off-site communications are required. Most DHR employees have cellular phones with texting capabilities. However, some DHR employees may be reticent to engaging in this form of communication due to texting fees or unfamiliarity with texting.

  - Motorola Radios—DHR has twenty-two UHF 2W walkie talkies with a talk range of up to 250,000 square feet and up to twenty floors. We have confirmed that they are able to transmit communication from City Hall to DHR’s inner offices at One South Van Ness. Please see Appendix 6 for administrator instructions. The walkie talkies are located with the emergency supplies.

  - City’s Emergency Notification System (866-704-0368; see Appendix 7 for the administrator instructions to disseminate communications through www.respondsf.org), known as “CORES”—DHR (and the City) has the ability to communicate with its employees through an automated message system which allows employees to respond in turn with reporting availability, etc. This is an ideal substitute for the live phone tree, as communications are immediate and employee responses can be electronically tracked. However, although employees have been instructed to save the number in their cell phones and address books, employees may mistake CORES for a “robo-caller” and hang up, so do try to notify them in advance if you plan to use this method of communication. Moreover, in the event of a wide-scale disaster, it is unlikely that phone lines will be available.

  - DHR Employee Phone Line (866-606-4347/4DHR or 415-557-8995)—DHR has an established phone line on which employees can leave messages indicating their availability to report, etc. DHR can also leave an outgoing message with reporting instructions or other important information. However, the local lines may be overwhelmed by a disaster.
    - To record an outgoing emergency message, dial x7-5555 on any Audix phone, or dial (415) 701-5555 if calling from an outside line.
    - Enter the extension 7-8995 (Pass code: 94103)
- Record a detailed message for staff, and make sure to remind staff to not leave a message if applicable.

- **DHR Out-of-Area Phone Line (916-556-1108)—**During a major disaster, the City’s telecommunications systems may be damaged or unavailable due to overuse. In an effort to ensure that we are able to communicate with our employees during a disaster, DEM and DT established out-of-area (916) voicemail phone numbers for City departments. We believe this will add another layer of redundancy to our communications systems. See Appendix 8 for more information and instructions on how to access the DHR phone line.

- **METS Lines (see Appendix 9 for METS lines instructions and contact numbers)—**the City has established METS lines in order to enable departments to communicate with other departments, the EOC and other DOCs. DHR has two established METS phone lines (351-7897 and 351-7895), located in the Marina Room (the established DHR DOC location).

- **Media—TV, Radio and Print.** It is highly unlikely that DHR will directly use the media to communicate with its specific employees. In the event of a disaster or emergency event, the Emergency Operations Center Public Information Officer will be responsible for coordinating communications with the media to relay important information to City employees. Per the ERP, DHR employees have been instructed to watch the television and listen to KCBS (740 AM or 106.9 FM) for updates or instructions specific to City and/or DHR employees.

- **DHR Website Postings—** DHR manages two websites. One is the primary DHR website, at www.sfgov.org/DHR; the other is the City’s emergency volunteer and DSW website at www.respondsf.org.

2.6.3 Ongoing Communications and Regular Briefings throughout COOP Phases

Ongoing communication is important throughout the duration of the COOP. The COOP Manager will establish communication protocols at the time that the COOP is activated, with regular reassessments and updates as necessary. Depending on the type, scope, size and duration of the event or emergency, different modes of communication may not be available. The quickest, cost-effective, efficient and effective mode of communication should be employed. This will depend on to whom the communication is directed and the purpose of the communication.

The COOP Management Team should convene regular briefings to ensure effective dissemination of information and department-wide resource coordination and allocation. Regular briefings should be in conjunction with EOC situation updates and the Mayor’s Office in order to disseminate and receive relevant information. The COOP Manager should establish briefing timelines as soon as possible during Phase I of the COOP.

2.7 DHR FUNCTIONS – MISSION-CRITICAL, ESSENTIAL AND IMPORTANT FUNCTIONS

DHR’s functions can be divided into two major groupings: 1) those functions that are required of DHR by law, Charter or Administrative Code mandate and/or business necessity; and 2) those that relate to DHR’s role in the City’s broader, overall response to disasters or emergency events.

DHR’s functions are prioritized by level of criticality, which will determine to what extent they will be supported through resource reallocation. Tasks not deemed mission-critical, essential or important must be deferred until additional personnel and resources become available.
### 2.7.1 INTERNAL ORGANIZATIONAL AND BUSINESS CONTINUITY FUNCTIONS

<table>
<thead>
<tr>
<th>1</th>
<th>Mission-Critical functions that must be performed within 48 Hours of an incident.</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Administer workers’ compensation claims processing as the citywide administrator, for client departments and within DHR to ensure the continuation of coverage for injured employees and the processing of new claims.</td>
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<tr>
<td></td>
<td>Providing guidance to City departments regarding staff identification and allocation issues, policy interpretation, application and enforcement issues and employee leaves.</td>
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<tr>
<td></td>
<td>Manage and administer all financial transactions, including work orders and payments to potential vendors.</td>
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<tr>
<td></td>
<td>Manage and coordinate DHR internal operations including resource identification and allocation, building maintenance issues and payroll issues.</td>
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<tr>
<th>2</th>
<th>Essential functions that must be performed within One Week of an incident.</th>
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<tbody>
<tr>
<td></td>
<td>Continuation of functions listed under Number 1 above.</td>
</tr>
<tr>
<td></td>
<td>Scan and assign incoming workers’ compensation documents into correct file(s).</td>
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<tr>
<td></td>
<td>Process medical treatment requests, review new claims for compensability, issue required notices.</td>
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<tr>
<td></td>
<td>Administer and coordinate all new-hire procedures including running and reviewing all conviction history reports, processing and reviewing fingerprint results, and preparing City photo identification badges.</td>
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<td></td>
<td>Monitor the harassment hotline, make an assessment and refer for follow-up.</td>
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<td></td>
<td>Manage and coordinate the discrimination complaint process including communications with employee and department, conducting investigations, making recommendations for resolution of cases, and drafting of reports if no resolution.</td>
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<td></td>
<td>Manage complaint investigations by department EEO staff including review of investigative report, communications with department investigator and draft closure letter.</td>
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<tr>
<td></td>
<td>Manage EEO Mediation including communications with employee, department and mediator, draft settlement agreement and follow-up.</td>
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<td></td>
<td>Manage and coordinate the reasonable accommodation process as the citywide administrator, for client departments and within DHR by engaging in an interactive process between the employee, the medical provider and City departments.</td>
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<tr>
<td></td>
<td>Manage and coordinate employee leaves in connection with federal and state guidelines for client departments and within DHR.</td>
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<td></td>
<td>Implement and administer meet and confer meetings on behalf of City departments.</td>
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<td></td>
<td>Manage and administer grievance procedures on behalf of City department, including work with City departments and the City Attorney’s Office.</td>
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<tr>
<td></td>
<td>Provide guidance to City departments regarding all compensation-related matters.</td>
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<tr>
<th>3</th>
<th>Important functions that must be performed within One Month of an incident.</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Continuation of functions listed under Numbers 1 and 2 above.</td>
</tr>
<tr>
<td></td>
<td>Client Services – Citywide performance management, appointment processing and separation processing within DHR.</td>
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<tr>
<td>Client Services Operations – Issue referrals, process appointments and separations.</td>
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<tr>
<td>Classification and Compensation – All other classification and compensation services.</td>
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<tr>
<td>Recruitment and Assessment Services – Develop and administer examinations.</td>
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<tr>
<td>Workforce Development – Develop and implement citywide training programs; manage, develop and coordinate training programs, department projects and citywide consulting work.</td>
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<tr>
<td>Finance – Billing and work order recoveries; data entry for recoveries from departments; process purchase orders; administer the RFP process and conduct budget balancing.</td>
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<tr>
<td>Employee Relations – Interpret MOUs including advising City departments of MOU-related issues that may arise; administer and coordinate Unfair Labor Practice charges and administer implementation of the MOUs.</td>
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<tr>
<td>Workers’ Compensation – Submit required data to state and federal agencies.</td>
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2.7.2 EMERGENCY-RELATED FUNCTIONS

1. **Emergency-Related Mission-Critical Functions that must be performed within One Day of an incident.**
   - Staffing the Human Resources Branch of the Logistics Section of the City’s EOC (and any other EOC branches sections as required) for the purpose of fulfilling requests for additional personnel from City departments, and relaying information about deployed DSW employees and volunteers. (This will most likely be the Chief of Policy or the Managing Deputy Director.)
   - Serving as a representative on the Policy Group of the EOC to consult on human resources and personnel issues and policies. (This will be the Human Resources Director, or the Managing Deputy Director in the event that the Human Resources Director is unavailable.)
   - Establishing the DHR DOC for the purpose of overseeing and coordinating DHR’s emergency response responsibilities (e.g., ensuring the EVC is properly staffed and has the resources it needs, finding alternate or additional locations for DHR’s EVC, relaying information to the EOC about how many DSWs were deployed to a particular department, relaying information from the EOC to the EVC about which particular skill sets are needed for emergency response and recovery efforts, etc.).
   - Conduct safety training sessions for employees and contact the State of California, Division of Industrial Relations.

2. **Emergency-Related Mission-Critical Functions that must be performed within Two Days of an incident.**
   - Activating and running one or more EVCs for the purpose of registering convergent volunteers as needed. (This effort will be led by a member of the Client Services Operations team.)
   - Negotiating with the City’s labor unions in the event that provisions of the City’s Memoranda of Understanding must be suspended or temporarily revised. (This effort will be coordinated by the Employee Relations Director.)

3. **Emergency-Related Essential Functions that must be performed within One Week of an incident.**
   - Continuation of functions listed under Numbers 1 and 2 above.
   - Develop and coordinate training workshops related to DSW/EVC functions.

The Emergency-related mission-critical functions will depend on the nature, location, duration and size of the disaster or emergency event (to be confirmed in consultation with the Department of Emergency Management and the EOC Policy Group).
4 Emergency-Related Important Functions that must be performed within One Month of an incident.

Continuation of functions listed under Numbers 1, 2 and 3 above.

At the conclusion of 30 days of COOP operations, all DHR functions should be resumed at normal operational levels.

Appendix 10 provides additional information on DHR’s established Mission-Critical, Essential and Important Functions.

2.8 SYSTEMS, SYSTEM REQUIREMENTS AND POSSIBLE WORK-AROUNDS

There are a number of electronic systems and databases upon which DHR depends to conduct its business. Please see Appendix 11 for a list of those systems. In the event that those systems or DHR’s ability to access them are impacted by an event, the COOP Management Team will be required to identify workarounds for those systems upon which their divisions rely. Possible workarounds include the use of laptops, flash drives, paper processes (implemented through fax and email) and other manual processes.

The COOP Management Team must also implement documentation requirements to ensure that records and data can be entered into the system once it is restored.

2.9 VITAL AND NON-VITAL RECORDS

Vital records and databases identified as critical to supporting essential functions, both paper and electronic, have been identified and will be maintained, updated and stored in secure offsite locations. In addition, procedures ensure that records are maintained and updated regularly. Personnel will be deployed during an emergency to ensure the protection and ready availability of electronic and hardcopy documents, references, records, and information systems needed to support essential functions under the full spectrum of emergencies. DHR personnel must be identified before an emergency in order to have full access to use records and systems to conduct their essential functions.

The two basic categories of vital records are Emergency Operating Records and Legal/Financial Records. Records in these categories may include:

Emergency Operations Records – Vital records, regardless of media, essential to the continued functioning or reconstitution of DHR during and after an incident requiring COOP activation. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments and related records of a policy or procedural nature that provide staff with guidance and information resources necessary for conducting operations during an incident requiring COOP activation, and for resuming normal operations at its conclusion.

Legal/Financial Records – Vital records, regardless of media, critical to carrying out DHR’s essential legal and financial functions and activities, and protecting the legal and financial rights of individuals directly affected by DHR functions. Included are records having such value that their loss would significantly impair the conduct of essential DHR functions or the legal/financial rights of DHR and/or individuals directly affected by DHR functions. Examples of this category of vital records are accounting information, contracting information, official personnel files and payroll.

Again, refer to Appendix 11 for additional information on the Vital Records, Systems and Databases.
2.10 RESOURCES TO SUPPORT ESSENTIAL FUNCTIONS

2.10.1 DHR Staff

DHR has approximately 120 employees. DHR’s staff is primarily comprised of human resources managers, personnel analysts, administrative support personnel and information system personnel.

- Nearly all DHR employees have received some training on disaster preparedness and response. In addition, all DHR employees have received a copy of the Emergency Response Plan ("ERP"), which includes information about DHR’s emergency-related responsibilities and DHR employees’ obligations as DSWs.

- At least 50% of DHR employees have had some involvement in prior EVC operations run by DHR (i.e., Cosco-Busan Oil Spill and H1N1 Vaccinations).

- Specific DHR staff have been identified for leadership roles in this COOP and in the DOC, EVC and ERP Plans. See Appendix 1 for orders of succession and Appendix 4 for members of the Emergency Response Unit.

2.10.2 Office Resources

- Computers/Workstations and Laptops. DHR has 130 workstations with computers currently being used by DHR employees and 20 vacant workstations with computers. Each workstation is equipped with internet access. In addition, DHR has 14 available laptops; 6 of those laptops have been specifically reserved for emergency response needs.

- Photocopiers/Printers/Faxes. DHR has 18 photocopier/printer/fax units. Appendix 12 provides additional information on the types and location of the photocopier/printer/fax units.

- DSW Identification Card Printers and Camera Set-Up. DHR has 3 sets of DSW Identification Card Printers and Cameras. One set is located in the Identification Room and the other two sets are located in a workstation adjacent to the IS Section.

- Phone Lines. DHR has approximately 200 phone lines and 175 data jacks; however, the phone systems at One South Van Ness have limited capacity and are certain to be overwhelmed in the event of a disaster or emergency. Accordingly, DHR also has two designated METS lines (one in the Director’s Office and one in the DOC), which will allow DHR to communicate with other City agencies during a disaster when the public telephone network becomes overloaded. METS extensions are deployed on City owned and maintained infrastructure. Again, refer to Appendix 9 for a METS Line Directory.

2.10.3 Supplies

- All of DHR’s non-emergency related supplies are located in a locked enclosed area on the south side of the building (next to the freight elevator, in between emergency exits 1 and 4).

- DHR also has a number of emergency supplies, including: basic medical supplies, some food and water provisions, etc. Most of these supplies are located in the DSW Closet (the storage room adjoined to the Workers’ Compensation File Room) at DHR’s main office located on the fourth floor of One South Van Ness. Refer to Appendix 13 for an inventory of DHR’s emergency supplies.

- Individuals who have keys to access both supply areas include Ted Yamasaki, Kerry Ko, Donna Kotake, Brent Lewis, Tom Hoffman and Jeanne Buick.
2.10.4 Alternate Facilities

DHR has two office locations. Its primary office is located on the 4th floor of One South Van Ness; its secondary location is the TOPP testing center, located on the second floor at 1750 Cesar Chavez. Both locations have available, albeit limited, parking. DHR has designated space within each office location for the specific purpose of undertaking its emergency-related responsibilities.

- DHR DOC. DHR’s primary DOC is located in the Marina Room at DHR’s central offices on the fourth floor at One South Van Ness Avenue. The DOC is equipped with additional phone and cable lines, and has a METS phone line which can be used in the event that the City’s regular phones are overwhelmed.

- EVC(s). DHR’s primary EVC location is in the atrium on the second floor of One South Van Ness. Please refer to the EVC Plan for additional information about available resources and alternate EVC locations (to be published in 2013).

Please refer to Appendix 14 for additional information about available resources at, gaining access to, and other logistical details regarding the facilities at One South Van Ness and Cesar Chavez.

In the event of a disaster or emergency, the Department of Real Estate, through its role in the Logistics Section of the City’s EOC, will assist in identifying other locations if necessary to the extent possible.
SECTION 3: COOP IMPLEMENTATION PHASES

3.1 PHASE I: COOP ACTIVATION AND ASSESSMENT (FIRST 48 HOURS)

As indicated in Section 2, the primary objectives during this phase are to ensure that: 1) all critical stakeholders are notified of the Continuity of Operations Plan’s (“COOP”) activation; 2) that essential staff undertakes an assessment of resource limitations, needs and availability to transition to alternate operations in accordance with this COOP to, at minimum, support and continue the Department of Human Resources’ (“DHR”) mission-critical functions.

3.1.1 Authorization to Activate the COOP

The Human Resources Director has primary authority to activate this COOP. If the Human Resources Director is unavailable, then the Managing Deputy Director, COOP Manager and/or the Chief of Policy may activate the COOP. Although three of these individuals have the authority to unilaterally activate the COOP as necessary, the COOP may not be activated unless and until the individual has made an effort to consult with the Human Resources Director and the other two authorized individuals.

3.1.2 Notification of COOP Activation

Once the COOP has been activated, all critical stakeholders should be immediately contacted as necessary and appropriate. Critical stakeholders include all individuals who are responsible for implementing any portion of this COOP, members of the COOP Management Team, appropriate members of the DHR Emergency Response Unit (if needed), the Mayor’s Office and the Department of Emergency Management or the Emergency Operations Center ("EOC") (if activated). Depending on the circumstances, other critical stakeholders could include DHR employees (it could be all employees, or just those who have pre-designated leadership roles in one or more of DHR’s emergency-related functions), the Civil Service Commission, the public, departments to whom DHR provides direct human resources services and Citywide human resources and payroll personnel.

General Notification Protocols

- The Human Resources Director, in consultation with the Managing Deputy Director, COOP Manager and Chief of Policy, will make the determination as to which stakeholders should be notified, when and how they should be notified, and what that communication will be.

- At minimum, COOP activation requires immediate notification to the Managing Deputy Director, the COOP Manager and the Chief of Policy. Secondary individuals that must be notified sometime shortly after the COOP is activated include members of the COOP Management Team and members of the Emergency Response Unit (if needed). Other stakeholders should be notified when necessary and appropriate; it may not even be necessary to notify all stakeholders immediately, or even at all.

- The most efficient and effective means of communication should be employed in the event of COOP activation. Again, this will depend on available resources, the size of the audience to be notified, etc.

Default Notification Protocols

- **Employees:** One or more of the following methods of communication should be used in the event that it is necessary to notify DHR employees of the COOP’s activation (see section 2.5.1 of this COOP for more information on each method). The best method to use will depend on whether it is during regular work hours, how many employees need to be notified (all DHR employees or just those with leadership roles) and whether phone lines have been overwhelmed.
During Regular Business Hours
- In-person meetings— to the extent possible, employees should be notified in person so that any questions can be addressed and to avoid miscommunication, confusion and panic.
- Loudspeaker/Bullhorn announcements.
- Email—can be used to reinforce in-person or loudspeaker notifications.
- Announcements through the work phone system.

During Non-Business Business Hours
- City’s Emergency Notification System (“CORES”) – should be used if large numbers of DHR employees need to be notified.
- DHR Phone Tree – should be used when only a small number of DHR employees need to be notified.
- DHR Employee Phone Line and Out-of-Area Phone Line (if the CORES System is not functioning or available for whatever reason); can be used in conjunction with CORES and the Phone Tree for ongoing communication purposes as well.
- Media—TV, Radio and Print (to be used if phone lines are down).

Members of the Public: If DHR offices must be closed or services to the public have been impacted, DHR may employ one or more means of communication: signage, outgoing voice messages, media outlets and/or postings on the DHR and DSW websites.

EOC/Other DOCs: Normal forms of communication should be utilized first. In the event that phone lines are overwhelmed, the Department of Emergency Management has provided DHR and other DOCs with an 800 MHz Radio (a Motorola XTS-2500) and METS Lines to enable departments to communicate with other departments, the EOC and other DOCs. The EOC will also expect the DHR DOC to utilize email and/or facsimile to transmit documents or relay and receive orders or situation updates.

3.1.3 Protocols during Phase I of COOP Activation

The following steps must be taken within twenty-four to forty-eight hours of COOP activation:

1. Notification—within 24 hours. See section 3.1.2 above.

2. Assess the Impact on DHR Resources within 48 hours— an assessment should be made within forty-eight hours to determine exactly what DHR resources (including staff, offices and systems) have been impacted by the event and to what extent. The COOP Management Team shall be responsible for making this assessment on behalf of each DHR Division and report back to the COOP Manager as quickly as possible, using the Resource Availability and Needs Assessment Form (see Appendix 3). The following are questions that should be considered when completing the form:

   - What is the impact on DHR employees— Will employees still be able to report to work? What is the expected absenteeism rate? Each Manager will be responsible for reporting division attendance rates to the COOP Manager on a daily basis.

   - Will DHR be expected to perform its emergency-related responsibilities, thereby further impacting staffing levels? To what extent will DHR will have to activate the Emergency Response Team to undertake DHR’s emergency-related responsibilities (e.g., staff the Emergency Operations Center, staff the DHR Department Operations Center, staff the Emergency Volunteer Center, staff other departments, etc.). The Chief of Policy will make this determination and provide regular updates during COOP briefings.
If DHR offices have been impacted, to what extent and when is reentry expected?

If the system has been impacted, to what extent has it been impacted and for how long will it be impacted?

3. Activation of the Emergency Response Unit: In the event that the situation requires DHR to undertake its emergency-related responsibilities, the Emergency Response Unit must be activated. Such responsibilities could include staffing the City’s EOC, establishing and staffing the DHR DOC, and establishing and staffing DHR’s EVC(s). DHR employees who have been pre-designated to fill one or more of these roles will be reassigned from their regular duties to their Emergency Response Unit responsibilities as needed. Those individuals and their responsibilities and roles are defined in the City’s Emergency Response Plan, the DHR DOC Plan and the DHR EVC Plan. All members of the Emergency Response Unit Management Team shall report to the DOC Chief, who in turn reports to the COOP Manager.

4. COOP Management Team Briefing within Forty-Eight Hours: Once all critical stakeholders are notified and the impact on DHR resources has been assessed, the COOP Manager will convene a meeting with the Human Resources Director, the COOP Management Team and managers in the Emergency Response Unit. The agenda for that meeting should be as follows:

- Report on Available Resources and Resource Limitations—the COOP Manager will compile the information provided by each Division and report the results to the group.

- Available Resource Workarounds—once resources have been assessed, the COOP Management Team should identify possible workarounds with the goal of avoiding or reducing the impact on DHR operations and functions to the extent possible.

  Questions to consider: are there alternate work-site locations or is it possible to implement a temporary telecommuting policy; if a system has been impacted, are there manual paper-based processes that can temporarily supplement our processes; etc. See Section 2.8 regarding workarounds in the event that the systems are impacted.

  Specific members of the COOP Management Team will be assigned to research and implement possible workarounds identified during this initial COOP meeting. Those individuals will be responsible for reporting on work-around progress during COOP briefings.

- Impact on DHR’s Operations—once resources and possible workarounds have been identified, there should then be an assessment as to what extent operations and functions will be/have been impacted. Each member of the COOP Management Team will be responsible for identifying which service/function within their division will or has been impacted and to what extent using the form in Appendix 3.

- Prioritize Critical Functions that Require Immediate Support—Although all DHR functions and operations have been identified and prioritized in Appendix 12, priorities may change based on the circumstances. Accordingly, the COOP Management Team should review and recommend changes to the list of prioritized functions for the Human Resources Director’s consideration as appropriate. The Human Resources Director shall finalize the priority list.

- Communications—the COOP Manager will ensure that expectations as to communications are established during this meeting. For example, how often check-ins are required, what is the preferred method of communicating with other managers or employees, what protocols will be followed, etc.

- Schedule of Future Briefings—at the conclusion of each COOP briefing, the COOP Manager is responsible for identifying when the next briefing will take place and what the responsibilities of each COOP Management Team Member are until then.
5. Communication to DHR Supervisors and Employees: COOP Management Team and the Emergency Response Unit Management Team members are responsible for communicating with their employees throughout COOP activation to ensure that they understand at least their reporting instructions (depending on the size and time of the event, this could be done either in person, over the phone or using the City’s two-way emergency communications system).

3.2 PHASE II: REALLOCATION OF DHR RESOURCES TO SUPPORT ALTERNATE OPERATIONS AND FUNCTIONS (48 HOURS TO AS LONG AS NEEDED)

At this phase, DHR resources are initially reallocated to support the transition to immediate alternate operations in order to support, at minimum, mission-critical functions (e.g., reassignment and/or reallocation of DHR staff, transition to paper-based processes, etc). If the Emergency Response Unit required activation, then members of the Unit have been reassigned to their emergency roles and other employees have replaced their regular assignments in accordance with the order of succession as outlined herein.

The COOP Management Team—with the coordination and oversight of the COOP Manager—will develop plans to sustain, at minimum, mission-critical functions for an extended period in case DHR resources are impacted for a long period of time. Such plans include the eventual phased-in support of other DHR functions based on level of criticality (i.e., mission-critical functions, essential functions, important functions and full restoration of all functions). See Section 2.7 for definitions of function criticality levels. DHR will also continue to move to restore as many functions as possible based on level of criticality as resources become more available.

3.2.1 Three Goals of Phase II COOP Activation

1. Reallocation of DHR Resources and Implementation of Workarounds to Support Alternate Operations, Systems and Functions

One of DHR’s primary goals will be the continued reallocation of resources and implementation of workarounds to restore as many mission-critical and essential functions as possible.

2. Development of Plans to Sustain Operations for Extended Periods of Time

Members of the DHR Executive Team and Emergency Response Team are expected to develop plans to sustain, at minimum, mission-critical functions within their divisions/units for extended periods of time in the event that DHR resources are expected to be impacted for a long period of time. Such plans should include an assessment of ongoing needs, resource limitations and additional possible workarounds.

3. Development of Plans to Restore Operations, Prioritized by Levels of Criticality

Members of the DHR Executive Team and Emergency Response Team are also expected to develop plans to include the eventual phased-in support of other DHR functions based on level of criticality (i.e., mission-critical functions, essential functions, important functions and full restoration of all functions). Again, see Section 2.7 for definitions of function criticality levels.

If DHR resources are likely to be restored in the near foreseeable future, then Members of the DHR Executive Team and Emergency Response Team should also develop plans to transition to Phase III – COOP deactivation.
3.2.2 Protocols during Phase II of COOP Activation

1. The following steps must be taken within three days (72 hours) of COOP activation:
   - All managers must have submitted a Resource Availability and Needs Assessment Form (Appendix 3) for their respective divisions to the COOP Manager. Managers must reevaluate their resources every twenty-four hours or as often as needed per the COOP Manager’s directive, and regularly update the COOP Manager of any substantive changes in resource needs, limitations or availability.
   - Resources (DHR staff, equipment, etc.) will be at least initially reallocated and reassigned based on the prioritized list of critical functions to support, at minimum mission-critical functions. The COOP Manager is responsible for overseeing and coordinating the reallocation of resources as directed by the Human Resources Director in consultation with the COOP Management Team.
   - Workarounds should also be implemented and communicated to staff as appropriate to support, at minimum, mission-critical services.
   - Possible alternate office locations should be identified if needed, and relocation plans should be developed.
   - Essential staff will continue assessing resource limitations, needs and availability to transition to alternate operations in accordance with this COOP.
   - DHR employees must be notified of reporting instructions and how to communicate with their supervisors and managers.
   - The EVC and/or DOC must be established if requested by the EOC.
   - The Employee Relations Division should make initial contact with the City’s labor unions (if there is an impact on employee’s City wide that would affect a term or condition of employment).
   - If the Emergency Response Unit has been activated, members of the Unit should be reassigned to their emergency roles, and other employees will assume the members’ regular assignments in accordance with the order of succession as outlined herein.
   - Managers should ensure that DHR employees know what their immediate reassignments and reporting instructions are, and that they understand what DHR’s prioritized functions and alternate operations are.

2. The following steps must be taken within seven days (one week) of COOP Implementation
   - All mission critical functions will be identified and fully supported.
   - Office relocation, if needed, should occur.
   - Communications protocols have been established.
   - Short-term/immediate plans must be developed to plan for continued resource limitations and needs for the purpose of, at minimum, sustaining mission critical functions.
   - Tentative plans to phase-in the restoration of operations based on levels of criticality should also be developed.
3. **After one Week/Ongoing/Longer-Term Protocols**

- The Management Team, with the coordination of the COOP Manager, should develop plans to sustain, at minimum, mission-critical functions for an extended period in case DHR resources are impacted for a long period of time. Such plans should include the eventual phased-in support of other DHR functions based on level of criticality (i.e., mission-critical functions, essential functions, important functions and full restoration of all functions). See Section 2.7 for definitions of function criticality levels.

- Tentative longer-term plans should include plans for continued resource limitations and needs in order to continue the phase-in the restoration of operations based on levels of criticality.

- Once DHR resources and normal operations are restored or are likely to be restored in the near future, DHR will develop and implement plans to resume normal operations and deactivate the COOP (Phase III) to ensure an orderly transition of all functions, personnel equipment and records to a new or restored facility.

### 3.3 PHASE III: COOP DEACTIVATION AND FULL RECONSTITUTION OF NORMAL BUSINESS OPERATIONS

#### 3.3.1 Primary Objective of Phase II

As indicated, during this phase, the COOP is deactivated and DHR transitions to its normal business operations and functions.

#### 3.3.2 Protocols during Phase III

1. **COOP Deactivation**

   - The Human Resources Director will approve plans and reconstitution schedules prior to the cessation of any COOP operations.

   - Deactivation of the COOP, which shall include the deactivation of the Emergency Response Team, the DOC and the EVC.

   - DHR employees and critical stakeholders who were notified of COOP activation will be notified of the COOP’s deactivation, and if appropriate, given instructions to facilitate the reconstitution of normal operations.

   - Any additional costs borne by DHR as a result of undertaking emergency-related responsibilities must be documented by each manager for submission to the DHR Chief Financial Officer for coordination of FEMA reimbursements and possible General Fund or Enterprise Fund reimbursement.

   - The COOP Manager will ensure that each manager documents for their respective units the processes, procedures, workarounds and allocation reassignments during COOP activation, and shall compile that information into one source document.

   - The COOP Manager shall coordinate an after-action review (“hotwash”) of actions undertaken during COOP activation with managers and DHR employees as appropriate prior to the deactivation of the COOP. The purpose of the hotwash will be to identify possible process improvements and to determine how DHR can best prepare itself in the future for other similar events. The information to be collected will, at a minimum, include a review of lessons learned to include processes that were effective and less than
effective. The information will be incorporated into a COOP After Action Plan, with recommendations for changes to the COOP and any accompanying documents.

2. **Reconstitution of Normal Business Operations**

- All DHR employees will be instructed to their normal assignments and workstation locations. Orders of succession as provided in the COOP shall be discontinued.

- All critical stakeholders who were notified of COOP activation will be notified of DHR’s full return to regular business operations.

- To the extent that manual processes were implemented due to system failure or inaccessibility, all hardcopy documents and records will be uploaded or entered into the appropriate systems. All manual processes that were undertaken should be well-documented for future reference.
SECTION 4: COOP PROGRAM MANAGEMENT

4.1 COOP PROGRAM MANAGEMENT

It is essential that DHR’s COOP capabilities be maintained at all times and that the COOP remain current and ready for activation at any time. Therefore, DHR has institutionalized a COOP Program that will ensure DHR’s constant level of readiness.

4.2 RESPONSIBILITIES

The Human Resources Director is responsible for appointing a COOP Program Manager who has the authority under the director to:

- Ensure that the COOP is reviewed and updated as outlined below.
- Assist in developing, updating and maintaining DHR COOP plans and procedures.
- Ensure that COOP testing, training and exercising are conducted as described in this plan.
- Represent DHR is interagency COOP exercises as needed to ensure effective interagency coordination and mutual support.
- Define short and long-term COOP goals and objectives in coordination with the Human Resources Director.
- Identify tasks and milestones, and outline a plan of action to accomplish the tasks within an established schedule in accordance with DHR’s goals and objectives.

The COOP Program Manager will regularly brief the Human Resources Director on the status of COOP activities department-wide. He/she shall also notify the Human Resources Director of resources, funding and/or policies needed to support the COOP program.

4.3 TESTS, TRAININGS AND EXERCISES

It is essential that personnel are adequately trained and that DHR regularly confirms that its resources and equipment are capable of supporting mission-critical functions.

In order to accomplish this, the COOP Program Manager will ensure that COOP personnel receive regular orientations on the COOP. In addition, the COOP Program Manager shall ensure that the following occur on no less than an annual basis:

- COOP personnel shall participate in COOP trainings and exercises;
- Alert, notification and mobilization procedures are regularly tested, and that this COOP Plan itself shall be regularly tested and updated on no less than an annual basis.

In addition, all members of the COOP Management Team and the DHR Emergency Response Team must complete the requisite SEMS/NIMS Training (IS 100-Introduction to Incident Command System and IS 700-Introduction to National Incident Management System).
4.4 COOP REVIEW AND REVISIONS/UPDATES

On no less than an annual basis, the COOP Program Manager will facilitate a review of the current COOP with COOP personnel to ensure that it remains accurate, thorough, comprehensive and current. Procedures shall be reviewed to ensure they satisfactorily meet needs based on the results of tests and exercises. All of the Appendices to this COOP shall be reviewed and revised at the same time to reflect changes in contact information, employee titles, orders of succession, systems, resources, communication systems, DHR or City policies and other essential COOP elements. The Human Resources Director shall approve all changes to the COOP.

A revised COOP shall be distributed to all appropriate members of the COOP Management Team, members of the Emergency Response Unit, unit managers and other relevant employees, as necessary.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Tasks</th>
<th>Frequency</th>
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<tbody>
<tr>
<td>Plan update and certification</td>
<td>Review entire plan for accuracy</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>Incorporate lessons learned and changes in policy and philosophy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Manage distribution</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Record revisions in the chart on the first page of this COOP</td>
<td></td>
</tr>
<tr>
<td>Maintain orders of succession and delegations of authority</td>
<td>Identify current incumbents</td>
<td>Semiannually</td>
</tr>
<tr>
<td></td>
<td>Update rosters and contact information</td>
<td></td>
</tr>
<tr>
<td>Maintain emergency relocation site readiness</td>
<td>Check all systems</td>
<td>Biannually</td>
</tr>
<tr>
<td></td>
<td>Verify accessibility</td>
<td></td>
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<tr>
<td></td>
<td>Cycle supplies and equipment as necessary</td>
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<tr>
<td>Monitor and maintain vital records management program</td>
<td>Monitor volume of materials</td>
<td>Ongoing</td>
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<tr>
<td></td>
<td>Update/remove files</td>
<td></td>
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</tbody>
</table>
APPENDICES

Appendix 1 Orders of Succession
Appendix 2 COOP Management Team Job Action Sheet
Appendix 3 COOP Management Team Resource Availability and Needs Assessment Form
Appendix 4 Members of Emergency Response Unit
Appendix 5 List of DHR Fax Numbers
Appendix 6 Administrator Instructions
Appendix 7 Administrator Instructions for CORES
Appendix 8 DHR Phone Line Set-up Instructions (DHR Out-Of-Area Phone)
Appendix 9 METS Lines Instructions & Contact Numbers
Appendix 10 DHR Mission-Critical. Essential & Important Functions
Appendix 11 List of DHR Systems & Databases
Appendix 12 Types & Locations of Copiers/Printers/Faxes
Appendix 13 Inventory of DHR Emergency Supplies
Appendix 14 Logistics at 1SVN and TOPP
Appendix 15 Citywide DOC Phone Directory and Locations
Appendix 16 EOC Directory and Contact Information