



**CITY OF WAUKEE, IOWA
CITY COUNCIL MEETING COMMUNICATION**

MEETING DATE: August 16th, 2021

AGENDA ITEM: Consideration of approval of the 2021 City of Waukeee Continuity of Operations Plan (COOP).

FORMAT: Consent Agenda

SYNOPSIS INCLUDING PRO & CON: The City of Waukeee Continuity of Operations Plan was developed to outline the steps to maintain essential operations to the citizens of Waukeee in the event of natural or man-made interruptions to service. The plan includes activation, outlining of essential functions and the backup systems in place to protect current infrastructure.

FISCAL IMPACT INCLUDING COST/BENEFIT ANALYSIS: No fiscal impact other than continuing education and training on emergency management operations.

COMMISSION/BOARD/COMMITTEE COMMENT:

STAFF REVIEW AND COMMENT: Staff recommends approval.

RECOMMENDATION: Approve the resolution.

ATTACHMENTS:

- I. Proposed Resolution
- II. 2021 Continuity of Operations Plan

PREPARED BY: Fire Chief Clint Robinson

REVIEWED BY:

PUBLIC NOTICE INFORMATION –

NAME OF PUBLICATION:

DATE OF PUBLICATION:

THE CITY OF WAUKEE, IOWA

RESOLUTION 2021-

APPROVING CITY OF WAUKEE CONTINUITY OF OPERATIONS PLAN

IN THE NAME AND BY THE AUTHORITY OF THE CITY OF WAUKEE, IOWA

WHEREAS, the City of Waukee, Dallas County, State of Iowa, is a duly organized Municipal Organization; **AND**,

WHEREAS, it is recommended that the City of Waukee establish a Continuity of Operations Plan to outline the steps to maintain essential operations to the citizens of Waukee in the event of natural or man-made interruptions to service; **AND**,

WHEREAS, the City of Waukee Continuity of Operations Plan includes activation, outlining of essential functions and the backup systems in place to protect current infrastructure.

NOW THEREFORE BE IT RESOLVED by the City Council of the City of Waukee that the 2021 City of Waukee Continuity of Operations Plan is hereby approved.

Passed by the City Council of the City of Waukee, Iowa, and approved the 16th day of August, 2021.

Courtney Clarke, Mayor

Attest:

Rebecca D. Schuett, City Clerk

| RESULTS OF VOTE: | AYE | NAY | ABSENT | ABSTAIN |
|-------------------------|------------|------------|---------------|----------------|
| Anna Bergman Pierce | | | | |
| R. Charles Bottenberg | | | | |
| Chris Crone | | | | |
| Larry R. Lyon | | | | |
| Ben Sinclair | | | | |



City of Waukeee

Continuity of Operations
(COOP) Plan

August, 2021

TABLE OF CONTENTS

RECORD OF CHANGES 3

EXECUTIVE SUMMARY 4

PURPOSE 5

AUTHORITIES/REFERENCES 5

ASSUMPTIONS 5

CONCEPT OF OPERATIONS 6

ESSENTIAL FUNCTIONS 7

VITAL RECORDS, SYSTEMS, AND EQUIPMENT 10

COOP PLAN INPLEMENTATION 13

ORDER OF SUCCESSION DELEGATIONS OF AUTHORITY 14

TRAINING, TESTING, AND EXERCISES 16

COOP MAINTENANCE 16

APPENDICIES

Appendix A: Vital Records, Systems, and Equipment Protection Methods..... 17

Appendix B: Requirements for Alternate Facilities..... 19

Appendix C: COOP Relocation Checklist..... 21

Appendix D: Evacuation/Floor Plan Documents..... 22

Appendix E: Definitions 24

EXECUTIVE SUMMARY

The City of Waukee has always been prepared, to the greatest extent possible, to respond to all-hazard disasters and events. However, the City of Waukee has become increasingly aware of how events could interrupt or possibly destroy its ability to effectively perform essential functions. Consequently, the City of Waukee has determined that it should develop and maintain a Continuity of Operations (COOP) plan. COOP planning is designed to develop and maintain a program that preserves, maintains, and reconstitutes the agency's ability to function effectively in a real or potential event.

The City of Waukee COOP plan encompasses the wide range of operations and services performed by the City of Waukee. It is tailored to its unique operations and essential functions performed.

While providing a structure of procedures and guidelines, at no time is the City of Waukee COOP Plan to inhibit the use of experience and common sense by emergency operations personnel when determining the actions and resources needed to protect and serve the citizens of the City of Waukee. The details described in this plan may or may not apply to specific hazards and emergency situations. Emergency operations personnel must use their discretion in each situation to determine the best course of action. Procedures listed in this plan serve as guidance but are not intended to replace the best judgment of those who are directly handling a specific emergency response

Each division in the city is expected to maintain detailed policies and procedures on the specifics of carrying out essential functions.

PURPOSE

The purpose of this COOP plan is to provide the framework for the City of Waukee to restore essential functions in the event of an emergency that affects operations.

- Loss of access to a facility (as in fire);
- Loss of services due to a reduced workforce (as in pandemic influenza) *see Pandemic Plan*; and
- Loss of services due to equipment or systems failure (as in information technology (IT) systems failure).

The COOP plan does not apply to temporary disruptions of service including minor IT system or power outages and any other scenarios where essential functions can be readily restored in the primary facility.

This COOP plan outlines the actions that will be taken to activate a viable COOP capability within 12 hours of an emergency event and to sustain that capability for up to 30 days. The COOP plan can be activated during duty and non-duty hours, both with and without warning.

The COOP plan covers all facilities, systems, vehicles, and buildings operated or maintained by the City of Waukee. The COOP plan supports the performance of essential functions from alternate locations and also provides for continuity of management and decision-making at the City of Waukee in the event that senior leadership or technical personnel are unavailable.

AUTHORITIES

- National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20

REFERENCES

- National Fire Protection Association (NFPA) 1600

ASSUMPTIONS

- A disaster can occur with little or no warning, causing significant loss of life and environmental and economic damage. In an emergency, it will be necessary to continue the essential functions of agencies in order to respond to day-to-day needs of citizens. However, continuity of operations may be challenging because of absenteeism within the response agencies and civil unrest due to community mitigation measures.
- Staff will be provided adequate training on this COOP plan such that they will be able to perform their duties during a COOP event.
- As part of their commitment to this plan, the City of Waukee will engage in systematic assessments of procedures, resources, and training to ensure its continued ability to carry out its responsibilities as outlined in this plan.

Key Personnel

Specific staffing requirements will vary widely among the City of Waukee departments due to differences in their size, structure, mission, and essential functions. Each essential function has associated personnel that are necessary to ensure continuity of operations. In general lines of succession and authority are to be identified in job descriptions, and should mirror everyday operations.

External Call List/Contacts

Each division shall provide access to vital vendors/contractors to each person involved in the COOP plan. Access to external contacts and vendors should be accessible 24/7 and outside of Waukee infrastructure. (Ex: if Outlook is not accessible there should be alternate means of obtaining information.)

All city chiefs, directors and their direct reports have access to Government Emergency Communications Service (GETS) and Wireless Priority Access (WPA). Both programs facilitate hard line (GETS) and wireless (WPA) phone calls during times of extreme volume, such as a disaster.

COOP Plan Implementation Responsibilities

The following lists identify major responsibilities and positions of key personnel and leadership required to implement City of Waukee's COOP plan.

Division Directors are responsible for:

- Supporting and providing executive leadership for all emergency planning efforts;
- Activating the COOP plan;
- Providing policy direction, guidance, and objectives during an incident for the implementation of the COOP plan;
- Consulting with and advising appropriate officials during implementation of the COOP plan.

The agency's staff is responsible for:

- Understanding their continuity roles and responsibilities within their respective departments;
- Knowing and being committed, through trainings, to their duties in a continuity environment;
- Understanding and being willing to perform in continuity situations to ensure an organization can continue its essential functions;

CONCEPT OF OPERATIONS

A COOP plan must be maintained at a high level of preparedness and be ready to be implemented without prior warning.

The plan can be fully implemented within 12 hours of activation and be capable of sustaining operations for up to 30 days. The broad objective of this COOP plan is to provide for the safety and well-being of the City of Waukee citizens, personnel, contractors, and visitors while enabling the agency's continued operations during any crisis or event. Specific COOP plan objectives include the following:

- Identify and enable staff to perform essential functions;

- Identify essential personnel, back-up staff, and supporting staff for relocation or for performing essential functions;
- Ensure the alternate facility location can support essential functions; and
- Protect and maintain vital records, systems, and equipment.

ESSENTIAL FUNCTIONS

Each division’s leadership team has identified essential functions and personnel who have roles in performing those functions to meet its responsibilities to citizens, personnel, contractors, and visitors.

The agency also has prioritized its functions by determining the essential functions’ return to operation (RTO). A listing of the agency’s prioritized essential functions and their RTOs, along with all supporting resources including essential personnel and vital records, systems, and equipment required to execute them is shown in the annex portion of this COOP.

Fire Department Essential Functions:

| Function | Description of Function | Priority | RTO |
|---------------------------|--|----------|-----------|
| Respond to Fire/EMS calls | Emergency/Non-Emergency | 1 | Immediate |
| Support: | | | |
| Image Trend | Fire-EMS Records MGT System | 2 | 8 HR |
| Central Square | Westcom CAD (dispatching and mapping) | 2 | 8 HR |

Community Development Essential Functions:

| Function | Description of Function | Priority | RTO |
|----------------------------|--|----------|-----------|
| Building Inspection | Verification of hazards and safeties associated with occupancy of buildings | 1 | Immediate |
| Permit Review/Issuance | Review of plans and permits for compliance with applicable codes | 1 | Immediate |
| Rental Inspection | Review for compliance of existing structures for habitability | 2 | 15 days |
| Code Compliance | Review for zoning and property maintenance | 2 | 30 days |
| Project Development Review | Review rezoning and development reviews for compliance with applicable codes and policies and approval through Commission and City Council | 2 | 30 days |
| Facilities Maintenance | General maintenance of city owned facilities | 3 | 30 days |
| Long Range Planning | Future planning associated with infrastructure and development | 3 | 30 days |
| Annexation | Future expansion of City | 3 | 30 days |

Marketing & Communications Essential Functions:

| Function | Description of Function | Priority | RTO |
|-------------------------------|---|----------|-----------|
| Website updates | Provide timely information and resources via Waukee.org | 1 | Immediate |
| Media relations | Send information to, and respond to inquiries from, news media | 1 | Immediate |
| Social media | Update the public via social media posts of the ongoing situation and any needed instructions/resources | 1 | Immediate |
| Sending resident/staff alerts | Sending urgent info and ongoing updates via Nixle text messages and website alerts | 1 | Immediate |

City Clerk Essential Functions:

| Function | Description of Function | Priority | RTO |
|---|---|----------|---|
| City Council meetings | Schedule, post agendas, run meetings | 1 | Immediate |
| City Council minutes | Write, publish minutes | 1 | Immediate |
| City Council ordinances | Write, publish ordinances | 1 | Immediate |
| City Council resolution | Write resolution | 1 | Immediate |
| Contract, agreement approval | Obtain signatures, distribute originals and copies | 1 | Immediate |
| Archive approved documents | Scan final documents, upload to Laserfiche | 2 | When Laserfiche running & equipment available |
| City Hall point of contact | Take calls, foot traffic for questions/concerns/information | 2 | When phone avail.; when safe location in place |
| Process licenses (liquor/block party/peddler/fireworks) | Process, issue licenses | 3 | When equip. avail.; when event can be held safely |

Police Department Essential Functions:

| Function | Description of Function | Priority | RTO |
|---|--|----------|---------------------|
| Respond to Emergent calls for service | Emergency (Persons Crimes/Felony/Serious) | 1 | Immediate |
| Respond to Urgent calls for service | Urgent (Active/Serious/Property Crime) | 2 | Immediate |
| Respond to Non-Emergent/Routine calls for service | Routine (Past Crimes/Traffic Violations) | 3 | As soon as possible |

Human Resources Essential Functions:

| Function | Description of Function | Priority | RTO |
|--------------------------------------|---|----------|----------|
| HRIS management for payroll purposes | Manage and maintain employee pay and benefit information | 1 | 48 hours |
| Workforce management | Manage safety concerns, support, and retain employees. (Catastrophic communication tree to disseminate information to employees timely.) | 1 | 4 hours |
| Enforcement/Adherence | Enforce compliance with laws, union contracts (if applicable), and ADA requirements. | 1 | 4 hours |
| Injury and fatality management | Support the identification and family notification of injured or deceased employees. | 1 | 4 hours |
| Recruitment | Fulfill requests for personnel for incident response. | 2 | 6 hours |
| EAP access for employees | Phone and on-site coordination of support services for employees | 3 | 14 days |

Library Essential Functions:

| Function | Description of Function | Priority | RTO |
|---|--|----------|-----------|
| Internet, public computers, copier/printer, scanner, fax, wireless access, public phone | Provide community access to vital information and communication services | 1 | Immediate |
| Library Space/Shelter | Provide community access to space/shelter/distribution center. | 1 | Immediate |
| Library Board Meetings | Schedule, post agendas, maintain documentation and records, hold meetings | 1 | Immediate |
| Internal/external Phones, Email texting & chat | Provide live resource and reference assistance to community. | 1 | Immediate |
| Library website / online resources | Provide timely information and resources via website including online resource access. | 1 | Immediate |
| Circulation | Provide access to library materials, wireless hotspots, etc. | 2 | 24 hours |
| Public access to materials collections | Provide public access to library materials. | 2 | Week |
| Programming | Provide public access to library programming | 3 | 30 days |

Parks and Recreation Essential Functions:

| Function | Description of Function | Priority | RTO |
|--|---|----------|-----------|
| Youth and Adult Programming Registration | Youth and adult recreation programs | 1 | Immediate |
| Facility Rentals | Shelter, Community Center, ball field Rentals | 1 | Immediate |
| Park and Trail Maintenance | Daily maintenance of parks and trails | 2 | 2-4 days |
| Golf Course Operations | Daily operations of Sugar Creek Golf Course | 1 | Immediate |

Public Works Essential Functions:

| Function | Description of Function | Priority | RTO |
|---|--|----------|------------|
| Operate the natural gas distribution system. | Oversee and maintain the City's natural gas distribution system to ensure the system is not compromised and protection of life and property is achieved. Ensure customers are receiving natural gas service. | 1 | 0-12 hours |
| Operate the water distribution system. | Oversee and maintain the City's potable water distribution system to ensure the system is not compromised. Ensure customers are receiving potable water service. | 1 | 0-12 hours |
| Operate the sanitary sewer collection system. | Oversee and maintain the City's storm sewer collection system to ensure the system is not compromised. Ensure customers are receiving sanitary sewer service. | 1 | 0-12 hours |
| Operate the storm sewer collection system. | Oversee and maintain the City's storm sewer collection system to ensure the system is not compromised. Ensure customers are receiving storm sewer service. | 2 | 0-24 hours |
| Operate the traffic signalization system. | Oversee and maintain the City's traffic signals to ensure safe use of the public street network. | 2 | 0-24 hours |
| Maintain the public street network. | Oversee and maintain the City's public street network to ensure roadways are accessible for emergency services and local access. This includes snow and ice control. | 1 | 0-6 hours |
| Maintain city vehicles and equipment. | Maintain and repair all critical vehicles and equipment for all City departments. | 2 | 0-24 hours |

Finance Essential Functions:

| Function | Description of Function | Priority | RTO |
|---|---|----------|--|
| Employee Payroll and Benefits | Maintain continuity of payroll for all city employees | 1 | 12 hours depending on where in cycle of payroll processing |
| Purchasing / Payment Processing | Procure materials & professional services for incident needs; process payments for immediate need items | 1 | 12 hours |
| Manage Cash Operations | Monitor & track cash available for city operations; Review & verify positive pay reports for bank | 2 | 24 hours |
| Financial Records Preservation | Protect vital financial, utility and payroll records | 4 | 48 hours |
| Utility Customer Service / Payment Processing | Maintain ability to provide critical utility customer services and payment processing to the public | 3 | 24 hours |

VITAL RECORDS, SYSTEMS AND EQUIPMENT

Vital records are records that, if damaged, destroyed or inaccessible, would disrupt operations and information flow and require replacement or re-creation at considerable expense or inconvenience. In continuity of operations planning, vital records are those records that are necessary to carry out mission essential functions. Content, not media, determines their criticality. Essential records are frequently in one of the following three formats: paper, electronic files, or microfiche.

Each division in the City of Waukee has identified systems to protect and recover essential records during emergencies and normal operations. Through the planning process, the departments and divisions documented and detailed their vital records. The departments assessed the existing essential records maintenance program and continue to address deficiencies.

The following maintenance strategy has been identified by the Information Technology division and divisions to protect essential records:

- There are currently three data centers in the City that provide redundancy in the back up of data.
- Server and application backups are performed nightly. Shares (network files) are backed up every four hours (snapshots).
- The City uses backup servers and data, then mirroring to save backups from one datacenter to the other.
- IT performs a backup of the City's financial system and Laserfiche to the Cloud, nightly.

City of Waukee personnel are advised to:

- Save data to network drives.
- Scan hardcopy documents to the network drives.
- Manage and retain records as required by state law.

Fire Department:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|----------------------------------|---------------------------|---|--------------------------|---------------|
| EMS Calls | Patient Care Reports | Web Access | Image Trend (Electronic) | 0 to 12 hours |
| Vehicles Fire Suppression/EMS | Responding to Emergencies | N/A | N/A | Immediate |
| | | Firehouse (legacy system) | Static | 30 Days |

Community Development:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|----------------------------|------------------------------|---|-------------|---------------|
| Building Inspection | Permit Information (Energov) | Waukee Server/Web Access | Active | 0 to 12 hours |
| Permit Review/Issuance | Permit Information (Energov) | Waukee Server/Web Access | Active | 0 to 12 hours |
| Rental Inspection | Permit Information (Energov) | Waukee Server/Web Access | Active | 15 days |
| Code Compliance | Permit Information (Energov) | Waukee Server/Web Access | Active | 30 days |
| Project Development Review | Bluebeam Arc GIS | Waukee Server/Web Access | Active | 30 days |

Marketing & Communications:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|-----------------------------|--------------|---|-------------|-----|
| All Communication Functions | | Waukee Server | Active | |

City Clerk:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|----------------------------|---|---|-------------|------------|
| City Council Documentation | Agendas, Minutes, Ordinances, Resolutions | Waukee server, Word | Active | 0-12 hours |
| Document Archives | Agendas, Minutes, Ordinances, Resolution, Contracts, Agreements | Waukee server, Laserfiche | Active | 30 days |
| License Processing | Liquor, Block Party, Peddler, Fireworks | EnerGov | Active | 30 days |
| City Hall Phones | City Hall phones | Phone system | Active | 0-48 hours |

Police Department:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|-------------------------------------|------------------------|---|-------------|----------------|
| Serious and above Calls for service | Records Enterprise/CAD | Web Access through ICN/West Des Moines network | Active | 0 to 6 hours |
| Serious and above Calls for service | Central Square/Reports | Web Access through ICN/West Des Moines network | Active | 0 to 6 hours |
| Simple Misdemeanor | TraCS | APPS server with TraCS Software | Active | 0 to 12 hours |
| Daily Administrative functions | Departmental drives | File Server (DEPT-FS1) | Static | 0 to 24 hours |
| | Sleuth RMS | Application Server (WKEPSAS01) | | Up to 48 hours |

Human Resources:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|--------------------------------|--|---|-------------|-----------|
| HRIS management | Personnel records | Waukee server, Internet – Incode and Laserfiche | Active | 0-12 days |
| Workforce Management | Personnel records | Internet, Incode, cell phones | Active | 0-4 hours |
| Injury and fatality management | FROI, personnel records | Cell phone, Laserfiche | Active | 0-8 hours |
| Recruit and Hire | Application materials, personnel files | Internet, NeoGov, cell phone | Active | 30 days |

Library:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|--------------------|--|---|----------------------------|------------|
| Circulation | ILS System: library patron records & materials records | Web-based, vendor hosted, internet | Active | 0-12 hours |
| Library website | Library information, calendar, contact info | Web-based, vendor hosted, internet | Active | 0-12 hours |
| Library operations | Policies Procedures Financials | Waukee server, paper copy, cloud backup Waukee server, paper copy, cloud backup Waukee server, paper copy | Static Active Active | 0-12 hours |
| Scheduling | Employee schedules | Web-based software, internet | Active | 0-12 hours |

Public Works:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|---|---|---|---|-------------|
| Operate the natural gas, water, sanitary sewer, storm sewer and traffic signal systems. | ArcMap Utilities Database and Elements XS | GIS Server | Geo-database containing utility layer information and asset management software | 0-24 hours |
| Maintain city vehicles and equipment. | Equipment service records | City Server | Historical maintenance records | 24-48 hours |

Finance:

| Essential Function | Vital Record | Networks/Servers that must be Operational to Support the Critical System or Equipment | Description | RTO |
|---|---|---|-------------|----------------|
| Employee Payroll and Benefits | City Hard Copy / Electronic West Bank Payroll Data | Waukee Server Web Access – West Bank | Active | 0 to 12 hours |
| Purchasing / Payment Processing | Current invoices in City AP system; physical check stock | Waukee Server Web Access – Wells Fargo | Active | 12 to 24 hours |
| Manage Cash Operations | N/A | Waukee Server Web Access – West Bank & Wells Fargo | Active | 24 hours |
| Financial Records Preservation | Records room contents, finance director files, accounting records | Waukee Server Physical Documents in House | Active | 48 hours |
| Utility Customer Service / Payment Processing | Software & email electronic payment notifications | Waukee Server Meter Reading / Internet | Active | 24 hours |

COOP PLAN IMPLEMENTATION

Implementation of the plan is based on three phases of operation:

- Activation and relocation
- Alternate facility operations
- Reconstitution

Phase I – Activation and Relocation

Executive Leadership or designee determines the need for and activates the COOP plan.

- Each division shall maintain detailed policies for implementing essential functions and back-up procedures for vital records and databases.
- Each division is responsible for understanding 3rd party application backup and recovery procedures.
- Each division is responsible for and shall identify interim processes if equipment or systems are unavailable. (e.g., the continuation of the ability to cut checks)
- MOUs or mutual aid agreements have been developed for utilization of alternate systems or equipment shall be reviewed annually.

Phase II – Alternate Facility Operations

- In general city owned facilities will be used for alternate work space.
- Each division in the city is responsible for pre-determining alternate facility needs based on supporting essential functions.
- Division directors will coordinate and prioritize space needs for events that impact more than one division.
- Each division shall pre-identify positions that can operate in a remote environment. Identification of hardware and software shall be reviewed annually.

Phase III – Reconstitution

- After senior leadership has determined the event/emergency is over and the COOP is no longer needed, each division will implement their procedures for a return to normal operation.
- Procedures should include, but are not limited to:
 - Verification that facilities are safe and ready for return to operation.
 - Verification that IT infrastructure is backed up and ready to return to normal operation.

ORDERS OF SUCCESSION DELEGATIONS OF AUTHORITY

Orders of succession and delegation are to be identified in job descriptions and should mirror daily operations to the extent possible.

Fire/EMS & Community Development:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|------------------------------|-------------------------------|---------------------------------|-------------------------------|--------------------------------|
| Responding to Fire/EMS Calls | Fire Chief | Deputy Chief | Fire Marshal | Shift lieutenant |
| Building Inspection | Building Official | Building Inspector | Building Inspector | Code Compliance Officer |
| Permit Review/Issuance | Building Official | Development Services Specialist | Building Inspector | Community Development Director |
| Rental Inspection | Code Compliance Officer | Building Official | Building Inspector | N/A |
| Code Compliance | Code Compliance Officer | Building Official | Building Inspector | Planner |
| Project Development Review | Planner | Planner | Development Services Director | Building Official |
| Facilities Maintenance | Building Official | Building Inspector | Code Compliance Officer | N/A |
| Long Range Planning | Development Services Director | Planner | Planner | N/A |
| Annexation | Development Services Director | Planner | Planner | N/A |

Marketing & Communications:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|----------------------------------|---------------|----------------|-------------|-------------|
| Responding to media | M&C Director | M&C Specialist | City Clerk | N/A |
| Updating website | M&C Director | M&C Specialist | City Clerk | N/A |
| Posting/replying on social media | M&C Director | M&C Specialist | City Clerk | N/A |
| Sending text alerts | M&C Director | M&C Specialist | N/A | N/A |

City Clerk:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|---|--|---|---|---|
| City Council Meetings | Mayor, Council Members, City Administrator, City Clerk | City Clerk | City Administrator | Public Works Administrative Coordinator |
| Contract, agreement approval | Mayor, Council Members, City Clerk | City Clerk | Individual Dept. directors | City Administrator |
| City Council minutes, ordinances, resolutions | Mayor, Council Members, City Clerk | City Clerk | Public Works Administrative Coordinator | City Administrator |
| Archive approved documents | City Clerk | Public Works Administrative Coordinator | IT Technician | N/A |
| License processing | City Clerk | Public Works Administrative Coordinator | Finance Department | N/A |
| City Hall point of contact | City Clerk | Utility Billing department | Marketing & Communications Department | N/A |

Police Department:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|---------------------------------|---------------|--------------------|-------------------------|----------------|
| Responding to calls for service | Police Chief | Comm. Policing Lt. | Support Ops/Invest. Lt. | Shift Sergeant |

Human Resources:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|--------------------------------|---------------|--------------------|----------------|--------------|
| HRIS Management | HR Specialist | Payroll Specialist | Sr. Accountant | HR Director |
| Employee Communication | HR Director | HR Specialist | | |
| On the job injury reporting | HR Specialist | HR Director | Fire Chief | Deputy Chief |
| Injury and fatality management | HR Director | HR Specialist | Fire Chief | Deputy Chief |
| EAP support for employees | HR Director | HR Specialist | Police Chief | Fire Chief |

Library:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|---|--|---------------------------|---------------------------|---------------------------|
| Library Administration | Library Director | Youth Services Librarian | Patron Services Librarian | Public Services Librarian |
| Library circulation | Public Services Librarian | Patron Services Librarian | Library Director | Youth Services Librarian |
| Internet, public computers, copier/printer, scanner, fax, wireless access, public phone | IT Director | N/A | N/A | N/A |
| Library website | Digital Marketing Specialist | Youth Services Librarian | Library Director | N/A |
| Public access to materials collections | Public Services Librarian | Patron Services Librarian | Library Director | Youth Services Librarian |
| Library programming | Youth Services & Adult Services Librarians | Children's Librarian | N/A | N/A |

Public Works:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|---|---------------------------------|--------------------------------|-------------|---------------------------------|
| Operate the natural gas distribution system. | Gas Superintendent | Asst. PW Director – Operations | PW Director | Asst. PW Director – Engineering |
| Operate the water distribution system. | Water/Wastewater Superintendent | Asst. PW Director – Operations | PW Director | Asst. PW Director – Engineering |
| Operate the sanitary sewer collection system. | Water/Wastewater Superintendent | Asst. PW Director – Operations | PW Director | Asst. PW Director – Engineering |
| Operate the storm sewer collection system. | Streets Superintendent | Asst. PW Director – Operations | PW Director | Asst. PW Director – Engineering |
| Operate the traffic signalization system. | Streets Superintendent | Asst. PW Director – Operations | PW Director | Asst. PW Director – Engineering |
| Maintain the public street network. | Streets Superintendent | Asst. PW Director – Operations | PW Director | Asst. PW Director – Engineering |
| Maintain city vehicles and equipment. | Equipment Services Technicians | Asst. PW Director – Operations | PW Director | Asst. PW Director – Engineering |

Parks and Recreation:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|--------------------------|------------------------|------------------------|----------------------------|------------------------|
| Program Registrations | Recreation Supervisors | Assistant P&R Director | P&R Director | Admin Assistant |
| Facility Reservations | Recreation Supervisors | Admin Assistant | Assistant P&R Director | P&R Director |
| Golf Course Operations | P&R Director | Recreation Supervisor | Golf Course Superintendent | Assistant P&R Director |
| Dog Park Registrations | Admin Assistant | Assistant P&R Director | Recreation Supervisors | P&R Director |
| Park & Trail Maintenance | Assistant P&R Director | P&R Director | Golf Course Superintendent | Parks Laborer |

Finance:

| Essential Function | Key Personnel | Successor 1 | Successor 2 | Successor 3 |
|---|-------------------------------------|-----------------------------|--------------------|--------------------|
| Employee Payroll and Benefits | Payroll Specialist | Senior Accountant | Accounting Manager | Finance Director |
| Purchasing / Payment Processing | Accounting Clerk | Senior Accountant | Accounting Manager | Finance Director |
| Manage Cash Operations | Finance Director | Accounting Manager | Senior Accountant | Payroll Specialist |
| Financial Records Preservation | City Clerk | Accounting Manager | Senior Accountant | N/A |
| Utility Customer Service / Payment Processing | Utility Customer Service Supervisor | Utility Account Specialists | N/A | N/A |

TRAINING, TESTING, AND EXERCISES

To maintain the agency’s COOP capability, an all-hazard COOP training, testing, and exercise program will be established. Major components of this program will include training all leadership and staff in their COOP responsibilities; conducting periodic exercises to test and improve COOP plans, procedures, systems, and equipment; and instituting a multi-year planning process to ensure continual plan updates in response to changing conditions.

Training

- Introduction to COOP planning;
- COOP plan Activation and Relocation (key personnel);
- Cross-training for essential functions (supportive personnel);
- National Incident Management System (responders and leadership); and
- Incident Command System (responders and leadership).

COOP PLAN MAINTENANCE**Plan Maintenance**

The City of Waukee’s Fire Department is the lead in ensuring that the COOP plan is updated and maintained in accordance with established schedules.

Whenever the plan is updated, it should be reissued with the update recorded on the COOP plan Record of Changes.

The following lists identify major responsibilities of essential personnel and leadership required for development and maintenance of City of Waukee’s COOP planning program.

APPENDICES

- Appendix A: Vital Records, Systems, and Equipment Protection Methods
- Appendix B: Requirements for Alternate Facilities
- Appendix C: COOP Relocation Checklist
- Appendix D: Evacuation Documents
- Appendix E: Definitions

APPENDIX A: Vital Records, Systems & Equipment Protection Methods

Fire Department:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|----------------------------------|---------------------|---|------------------------------------|
| Patient Records | Cloud | Dual data center | Image Trend |
| Patient Records | Local & Cloud | PDF backed up quarterly, secured in fire safe | Local external hard drive |
| Fire Trucks & Ambulances | PS Building | Single PS Building | Auto for short term interruptions |
| Life Line (MFG) | N/A | N/A | Loaner/rental if ambulance is OOS. |

Community Development:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|----------------------------------|---------------------|--|------------------|
| Permit Information | Local | Dual data center back up Local copy backed up quarterly | Tyler Technology |
| Bluebeam | Cloud | Dual data center back up Local copy backed up quarterly | Blue Beam |
| ArcGis | Local | Dual data center back up Local copy backed up quarterly | ESRI |

Marketing & Communications:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|----------------------------------|---------------------|--|-----------------|
| Account passwords | W Drive | Back-up on server, printed copy in offices | Waukee IT |
| Contacts | Outlook, media list | Back-up on server, printed in Crisis Communications Plan | Waukee IT |

City Clerk:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|----------------------------------|-----------------------------|------------------------------|------------------------------|
| City Council documents | Waukee server, Waukee Cloud | System back-ups, Cloud | Waukee IT Department |
| Document archive | Laserfiche | Laserfiche system back-ups | Laserfiche |
| Licenses | EnerGov | EnerGov system back-ups | EnerGov (Tyler Technologies) |
| Phones | Phone company | | Phone company |

Police Department:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|----------------------------------|---------------------|--|-----------------|
| NCIC System Local | N/A | Isolated Network & Endpoint Communications encryption handled by DataMaxx | State of Iowa |
| NCIC System (through CAD/RMS) | West Des Moines | Internally accessible via web w/ web encryption | Westcom/WDM |
| CAD/Records Management | West Des Moines | Dual data center back up Local copy backed up weekly | Westcom/WDM |
| Department drives | Local Server | 30m/Hourly/Daily/Weekly/Monthly Snapshot deltas, replicated to Cloud, Primary backup to local backup appliance | Waukee IT |

Public Works:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|---|---------------------|------------------------------|-----------------|
| ArcMap GIS Utilities Database and Elements XS | Local and Cloud | IT security measures | ESRI / Novotx |

Human Resources:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|----------------------------------|---------------------|--|-------------------------------|
| Personnel Information | Waukee server | Backed up by IT every 30 minutes + weekly. | Incode 800-646-2633 |
| Personnel files | On site and cloud | Locked file cabinet, electronically via Laserfiche | Laserfiche 800-985-8533 |
| Application materials | Cloud | Backed up by vendor | NeoGov 855-524-5627 |
| FROI | Waukee server | Backed up by IT every 30 minutes + weekly. | Company Nurse 888-770-0928 |

Library:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor/Contacts |
|---|---|---|-----------------|
| Circulation (ILS System) – patron records & materials records | Web-based, vendor hosted | Externally hosted | TLC |
| Library website | Web-based, vendor hosted | Externally hosted | EBSCO |
| Library policies | Waukee server, paper copy, cloud backup | Multiple locations – electronic & hard copy | N/A |
| Operational procedures | Waukee server, paper copy, cloud backup | Multiple locations – electronic & hard copy | N/A |
| Budget / Invoices / Contracts | Waukee Server, paper copy | Paper copies | N/A |
| Scheduling | Web-based | Cloud | Sling |

Parks and Recreation:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor /Contacts |
|----------------------------------|---------------------|---|------------------|
| Program Registrations | Local | Dual data center back up local copy backed up quarterly | SportsMan |
| Facility Reservations | Local | Dual data center back up local copy backed up quarterly | SportsMan |
| Golf Course Point of Sale | Local | Dual data center back up local copy backed up quarterly | AIMSI |
| Dog Park Registration | Cloud | | BarkPass |

Finance:

| Vital Record, Systems, Equipment | Storage Local/Cloud | Current Protection Method(s) | Vendor /Contacts |
|---|---|--|--|
| Employee Payroll and Benefits | Local Storage Tyler Offsite Backup West Bank | Local Backup Tyler DDR Backup Nightly West Bank ACH Records | Tyler – Incode West Bank ACH Processing |
| Purchasing / Payment Processing | Local Storage Tyler Offsite Backup West Bank Wells Fargo | Local Backup Tyler DDR Backup Nightly West Bank ACH Records Wells Fargo ACH Records | Tyler – Incode West Bank ACH Processing Wells Fargo ACH Processing |
| Manage Cash Operations | West Bank Wells Fargo | Vendor Provided | West Bank ACH Processing Wells Fargo ACH Processing |
| Financial Records Preservation | | Waukee Server Physical Documents in House | Waukee IT |
| Utility Customer Service / Payment Processing | Storage Local Tyler DDR | Local Backup Tyler DDR Backup Nightly | Tyler – Incode Sensus Meter Reading |

APPENDIX B: Requirements for Alternate Facilities

An alternate facility is a location, other than the normal facility, used to carry out essential functions in a COOP plan activation. Requirements include personnel, back-up power, communications, and space needed in order to return to regular operation.

Fire Department:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|-------------------------------|---------------------|---------------|------------------------------|---------------------|
| Housing personnel & apparatus | 7 (24/7) | Required | Cell coverage for short term | Vehicles |
| Fire Admin | 4 | Required | Internet/Phones | Support 4 personnel |

Community Development:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|----------------------------|---------------------|---------------|------------------------|---------------------|
| Inspection Vehicles | 5 | Required | Contained in apparatus | Vehicle |
| Development Services Admin | 6 | Required | Internet/Phones | Support 6 personnel |

Marketing & Communications:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|----------------------------|---------------------|---------------|-------------------------|-----------------------|
| Marketing & Communications | 1-2 | Required | Internet/Phones/Laptops | Support 1-2 personnel |

Human Resources:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|--------------------|---------------------|---------------|-----------------------|---------------------|
| HR Admin | 2 | Required | Internet, cell phones | Support 2 personnel |

Library:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|---|---------------------|---------------|-------------------|---|
| Internet, public computers, copier/printer, scanner, fax, wireless access, public phone | 2 | Required | Internet / Phones | Support public & 2 library staff |
| Library Space/Shelter | 2 | Required | Electricity | Support public and 2 library staff |
| Circulation | 2 | Required | Internet | Support public and 2 library staff |
| Public access to materials collections | 2 | Required | Internet | Support public, 2 library staff, and relocated collection 5,000 sq. ft. |
| Programming | 2 | Required | Electricity | Support public and 2 library staff |

Public Works:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|---|---------------------|---------------|------------------------|-----------------------------------|
| Operate the natural gas distribution system. | 5 | Required | Internet/Phones/Radios | 1 work station |
| Operate the water distribution system. | 4 | Required | Internet/Phones/Radios | 1 work station |
| Operate the sanitary sewer collection system. | 4 | Required | Internet/Phones/Radios | 1 work station |
| Maintain the public street network. | 7 | Required | Internet/Phones/Radios | 1 work station |
| Maintain city vehicles and equipment. | 2 | Required | Internet/Phones/Radios | 1 work station and 2 service bays |
| Public Works Administration | 5 | Required | Internet/Phones/Radios | 5 work stations |

Police Department:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|------------------------------|---------------------|---------------|--------------------------------|------------------------|
| Police Vehicles | 10 | Required | Contained in vehicles/handheld | 10 Marked & 4 Unmarked |
| Police Admin | 4 | Required | Internet/Phones | Support 4 personnel |
| Police Investigations | 4 | Required | Internet/Phones | Support 4 personnel |
| Administrative Support Staff | 3 | Required | Internet/Phones | Support 3 personnel |
| Storage of Evidence | 0 | Not Required | None | Mobile Storage Unit |

Parks and Recreation:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|------------------------|---------------------|---------------|------------------------|---------------------|
| P&R Administration | 5 | Required | Internet/Phones | Support 5 personnel |
| Golf Course Operations | 3 | Required | Internet/Phones | Support 3 admin |
| Parks Maintenance | 4 | Not-Required | Internet/Phones/Radios | Support 1 admin |

Finance:

| Essential Function | Number of Personnel | Back-Up Power | Communications | Space |
|---------------------------|---------------------|---------------|-----------------|-------------------------|
| Finance / Utility Billing | 7 | Required | Internet/Phones | Support 7 staff members |

APPENDIX C: COOP Relocation Checklist

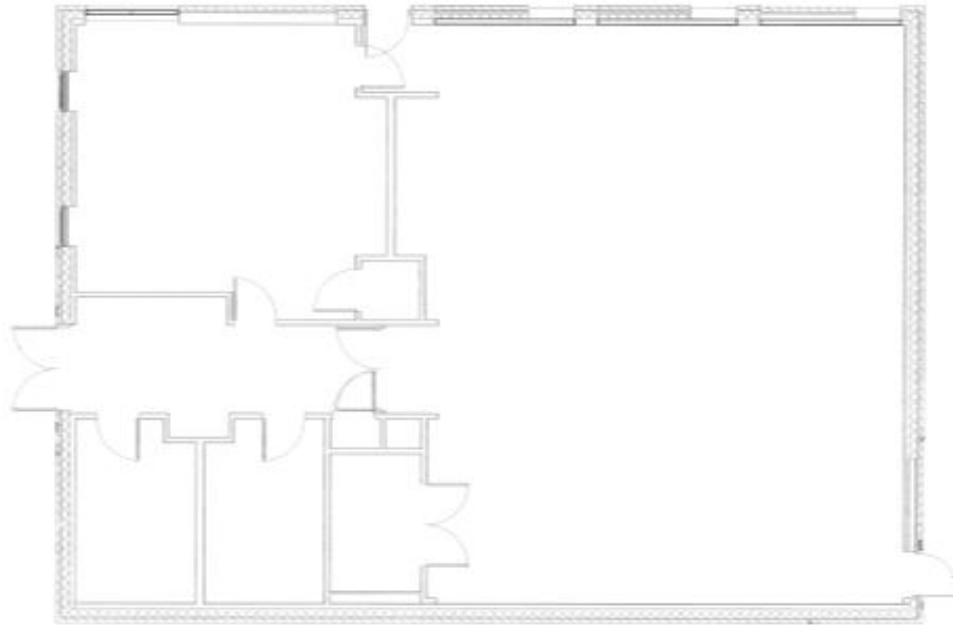
As the department leadership and COOP Planning Leads or alternates prepare to relocate key personnel, the following procedures will provide guidance to successfully maintaining mission essential functions at a continuity facility.

| Item | Task | Task Assigned To | Date/Time Completed |
|------|---|------------------|---------------------|
| 1 | Designate a relocation manager(s) and prepare relocation checklist in support of the COOP. | | |
| 2 | Identify areas where outside support will be required in relocation operations; activate memoranda of understanding, vendor contacts, and other agreements as necessary to ensure site support. | | |
| 3 | Assemble necessary documents and equipment required to continue mission essential functions at the continuity facility. | | |
| 4 | Order additional resources (including equipment and office supplies) that are not in place or readily available. | | |
| 5 | Continue mission essential functions at the primary location, if available, until the continuity facility is operational. | | |
| 6 | Support the orderly transition of all mission essential functions, personnel, equipment, and vital records from the primary location to the continuity facility. | | |
| 7 | Identify mission essential functions that can be delayed or postponed if the COOP is implemented. | | |
| 8 | Provide for the proper storage of backup copies of essential records and other pre-positioned resources and assets. | | |
| 9 | Designate available staff to assist arriving key personnel. | | |
| 10 | Conduct COOP training for all key personnel arriving at the continuity facility | | |
| 11 | Support the orderly transition of all mission essential functions, personnel, equipment, and vital records from the continuity facility to the primary location. | | |

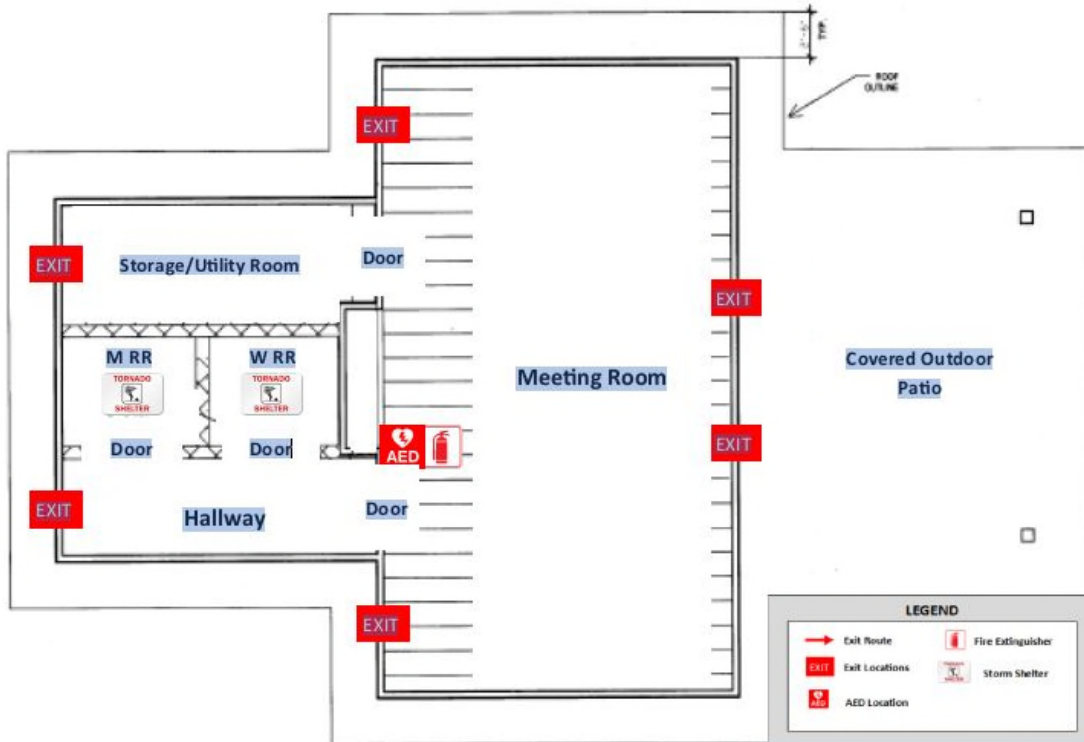
Appendix D: Evacuation/Floor Plan Documents

City of Waukee Owned Facilities to be considered for COOP relocation needs.

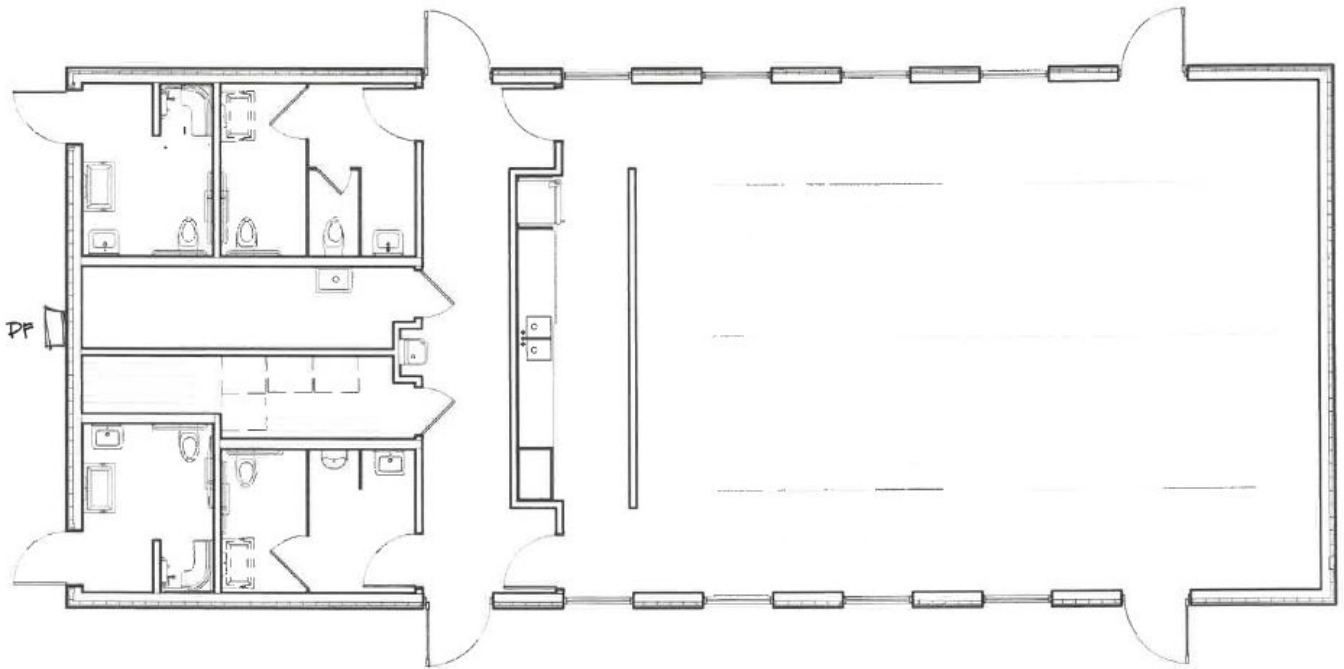
Waukee Community Center Floor Plan



Ridge Pointe Pavilion Floor/Evacuation Plan



Fox Creek Pavilion Floor Plan



Appendix E: Definitions

Activation – When all or a portion of the COOP plan has been put into motion.

Alternate Location – A location, other than the normal facility, used to process data and/or conduct essential functions in the event of a disaster. Similar Terms: Alternate Operating Facility, Alternate Processing Facility, Alternate Office Facility, and Alternate Communication Facility.

Cold Site – An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations. Equipment and resources must be installed in such a facility to duplicate the essential functions of an organization. Cold sites have many variations depending on their communication facilities, uninterruptable power supply systems, or mobility.

Continuity of Government (COG) – Preservation of the institution of government. Maintaining leadership through succession of leadership, delegation of authority, and active command and control.

Continuity of Operations (COOP) – The effort to assure that the capability exists to continue essential functions across a wide range of potential emergencies.

Continuity of Operations (COOP) Coordinator – Serves as the agency’s manager for all COOP activities. The Coordinator has overall responsibility for developing, coordinating, and managing all activities required for the agency to perform its essential functions during an emergency or other situation that would disrupt normal operations. The first step in the COOP planning process is selecting a COOP Coordinator.

Continuity of Operations (COOP) Plan – A set of documented procedures developed to provide for the continuance of essential functions during an emergency.

Delegations of Authority – Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations as appropriate. Generally, these will be identified by position, and will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

Devolution – The capability to transfer statutory authority and responsibility for essential functions from an agency’s primary staff and facilities to alternate staff and facilities and to sustain that operational capability for an extended period.

Emergency Preparedness – The discipline which ensures an organization’s or community’s readiness to respond to an emergency in a coordinated, timely, and effective manner.

Essential Functions – Activities, processes, or functions which could not be interrupted or unavailable for several days without significantly jeopardizing the operation of an organization. Essential functions enable an organization to provide vital services, exercise civil authority, maintain safety of the general public, and sustain the industrial/economic base during a disruption of normal activities.

Emergency Management Assistance Compact (EMAC) – Congressionally ratified compact that provides form and structure to interstate mutual aid. During a disaster, it allows a state to request and receive assistance from other member states.

Facility – A location where an organization’s leadership and staff operate, containing the equipment, supplies, and voice and data communication lines to conduct operations required to maintain business under normal conditions.

Homeland Security Exercise and Evaluation Program (HSEEP) – A capabilities and performance-based program that provides terminology, doctrine, and policy for designing, planning, conducting, and evaluating homeland security exercises.

Hot Site – An alternate facility that has the equipment and resources to recover the essential functions or information systems affected by the occurrence of a disaster. Hot sites may vary in the type of facilities

offered (such as data processing, communication, or any other essential business functions needing duplication). Location and size of the hot site will be related to the equipment and resources needed.

Implementation Procedure Checklist – A list of the immediate actions to take once the COOP plan is implemented.

Incident Command System (ICS) – A management system used to organize emergency response. ICS offers a scalable response to an incident of any magnitude, and provides a common framework within which people can work together. These resources may be drawn from multiple agencies that do not routinely work together. The system is designed to grow and shrink along with the incident, allowing more resources to be added into the system when needed and released when no longer needed. The key aspect of ICS helps to reduce or eliminate the "who's in charge" problem.

Key Personnel – Personnel designated by their division as critical to the resumption of essential functions and services.

National Incident Management System (NIMS) – A consistent nationwide template to enable federal, state, local, and tribal governments, private-sector, and nongovernmental organizations to work together effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity, including acts of catastrophic terrorism.

Reconstitution – The process by which agency personnel resume normal business operations after the emergency or disruption ceases and is unlikely to resume, from the original or replacement primary operating facility.

Record Retention – Storage of historical documentation for a set period of time usually mandated by state or federal law or by the Internal Revenue Service.

Recovery – Implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.

Recovery Time Objective (RTO) – The period of time in which systems, applications, or functions must be recovered after an outage.

Response – Those activities and programs designed to address the immediate and short-term effects of the onset of an emergency or disaster.

Risk – Likelihood of an ongoing or impending concern that has a significant probability of adversely affecting business continuity.

Risk Assessment – The identification and assessment of hazards.

Risk Analysis – An evaluation of the probability that certain risks will occur and the controls to reduce organizational exposure to such risk.

Risk Management – The process of identifying, controlling, and minimizing the impact of events and their consequences, which also ensures that an organization does not assume an unacceptable level of risk.

Risk Mitigation – The application of measures to reduce the likelihood of a risk

Vital Records, Systems, and Equipment – Records, files, documents, or databases that are needed to support essential functions during a continuity situation, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory, or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.