

## **Support Material Agenda Item No. 9**

### **Board of Directors Meeting**

**March 3, 2021  
10:00 AM**

**MEETING ACCESSIBLE VIA ZOOM AT: <https://gosbcta.zoom.us/j/95402329863>**

#### **Teleconference**

Dial: 1-669-900-6833  
Meeting ID: 954 0232 9863

### **CONSENT CALENDAR**

#### **Administrative Matters**

**9. Business Continuity Management Program Policy No. 10180 and SBCTA Enterprise Continuity of Operations Base Plan**

That the Board, acting as the San Bernardino County Transportation Authority and the San Bernardino Associated Governments:

- A. Approve Policy No. 10180 Business Continuity Management Program;
- B. Approve the San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan (SBCTA COOP), and;
- C. Authorize the Executive Director or his designee to implement future non-substantive revisions to the SBCTA COOP and subordinate departmental Continuity of Operations Plans.

*The SBCTA Enterprise COOP Base Plan and SBCTA Department COOP Template is being provided as a separate attachment.*

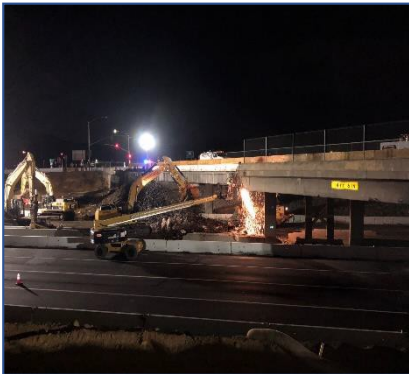


# Continuity of Operations Plan

# cta

San Bernardino County  
Transportation Authority

# 2021



## PRIVACY STATEMENT

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In its entirety, the Continuity of Operations Plan (COOP or the Plan) addresses not only high level overview information about how the San Bernardino County Transportation Authority (SBCTA) responds to different types of disruptions, but also the operational detail necessary to perform critical functions.

Activation of this plan is authorized by the Executive Director, Deputy Executive Director, a Department Director, or a designee, while implementation is coordinated by the department leadership and COOP leads or alternates, also known as the COOP Champions as defined in Section 1.4.3. For more information about continuity planning, this COOP, or to provide comments and suggestions please contact SBCTA Risk Manager at (909) 884-8276 or EDahlen@gosbcta.com.

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## PROMULGATION STATEMENT

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Continuity of Operations ensures the continuation of essential functions during and after a disaster or other disruption of normal working conditions. Continuity programs and operations are fundamental practices that allow critical services to remain operational under all conditions. Continuity planning establishes the framework to ensure that each SBCTA department has the ability to carry out its critical mission, regardless of the circumstances that may result from any natural, technological, or intentional disaster.

This Plan has been developed in accordance with guidance in the Federal Emergency Management Agency's Continuity Guidance Circular (CGC 2) for Non-Federal Entities, dated October 2013.

SBCTA's governing body has approved this Plan and authorizes the Executive Director to make non-substantive changes to this Plan and the subordinate annexes. This Plan contains required information and guidance for the agency to sustain its essential services and to minimize potential impacts during and following an Emergency.

This Plan shall become effective upon approval by the following:

Approved: \_\_\_\_\_

Date: \_\_\_\_\_

Dr. Raymond W. Wolfe, Executive Director

## Record of Changes

From the date of promulgation of this Plan, the Risk Management Division will track and record changes made to the document.

Change Number	Section/Page	Date of Change	Individual Making Change	Description of Change

## Record of Distribution

The Record of Distribution will be used to verify that department leadership have acknowledged acceptance of this Plan. An electronic version of this Plan can be accessed by SBCTA employees with COOP responsibilities on the Special Projects and Strategic Initiatives Continuity of Operations SharePoint Site.

Individual Distributed to	Number of Copies	Date of Distribution	Format (Electronic or Hard Copy)	Authorized by



## Approach to Continuity of Operations Planning

The SBCTA Enterprise Continuity of Operations Base Plan (COOP or the Plan) encompasses the operations and services performed by the Agency. It is tailored to the operations of individual departments and the Mission Essential Functions they perform. This COOP consists of an overarching plan and annexes for each department. Each department participated in a Business Impact Analysis through interviews performed by the Risk Manager and the Director of Special Projects and Strategic Initiatives. Department staff identified Mission Essential Functions and other critical information about the departments' day-to-day functions. The Business Impact Analysis documented the following information:

- Key Personnel required to maintain the function
- Critical resources required to support the function
- Dependencies and interdependencies

In addition, processes for all continuity capabilities, e.g., succession of leadership, Delegation Of Authority, notification of staff, continuity facilities and communications, Essential Records management, human resources, Test, training and Exercises, Devolution of control and direction, and Reconstitution and Recovery were also identified during the Business Impact Analysis (BIA) interviews or through follow up emails and meetings.

This COOP and departmental annexes were developed by the Risk Manager and the Director of Special Projects and Strategic Initiatives and reviewed by the Deputy Executive Director and the Executive Director. Furthermore, each Director reviewed and approved his/her individual annex.

## Section 1 INTRODUCTION

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The goal of the all-hazards approach to Continuity of Operations Planning is to maintain the Agency's ability to operate and provide vital services regardless of the disruption. This approach includes preparing for natural Emergencies such as earthquakes and flooding as well as technological Emergencies and intentional Incidents, such as acts of terrorism.

### 1.1 Plan Purpose

SBCTA departments have the responsibility to plan for and respond to disruptive Events. During a Continuity of Operations Plan Activation, departments may be required to operate from a continuity location and may overextend their resources.

The purpose of this COOP, and the subordinate plans developed for each department, is to provide the framework for SBCTA departments to restore Mission Essential Functions if an Event disrupts operations. In doing so, the COOP establishes the Agency's COOP program for addressing three types of disruptions:

- Inaccessibility to a facility (for example, due to building damage)
- Inability to provide full services due to a reduced workforce (for example, due to pandemic influenza)
- Inability to provide services due to equipment or systems failure (for example, due to IT systems failure)

The Agency's COOP program also provides policy, procedure and guidance to continue Mission Essential Functions within the Recovery Time Objectives established by the individual departments and to maintain Mission Essential Functions for up to 30 days.

The Agency is committed to the safety and protection of its employees, operations, and facilities. This COOP provides the Agency's personnel a framework that is designed to minimize impact during a disruptive Event.

The COOP is divided into an administrative section and operational annexes for each SBCTA department. The administrative section provides the purpose, requirements, and definitions for COOP operations. The department annexes are to be used as a reference and provide the -necessary operational information to conduct COOP operations.

Furthermore, this COOP is a roll-up of continuity data found in SBCTA's departmental COOP plans. It is designed to assist the Agency by:

- Identifying gaps in overall continuity strategies.
- Determining if Mission Essential Functions can be achieved within specified Recovery Time Objectives (RTO),
- Identifying, supplies, equipment, and mission Essential Records and Databases that will be needed by RTOs, and
- Identifying potential single points of failure by examining RTOs and their associated dependencies.

# San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

This COOP consists of the following components:

This COOP provides the objectives, concept of operations and activities that govern SBCTA's Continuity of Operations. Appendices provide other relevant supporting information.

**Appendices** are individual supplements that focus on roll-up information obtained from departmental plans.

- ✓ Department Official Responsible for Activating the COOP Plan by Department (Appendix A)
- ✓ Reconstitution Manager by Department (Appendix B)
- ✓ Mission Essential Functions by Department (Appendix C)
- ✓ Mission Essential Functions by Department and by Recovery Time Objective (Appendix D)
- ✓ Mission Essential Functions by Recovery Time Objective (Appendix E)
- ✓ Devolution by Department (Appendix F)
- ✓ Continuity of Operations Planning Leads (Appendix G)
- ✓ Equipment and Supplies by RTO (Appendix H)
- ✓ Mission Essential Records and Databases by RTO (Appendix I)
- ✓ Dependencies by Department (Appendix J)
- ✓ Continuity of Operations Plan Activation Job Aid (Appendix K)

## 1.2 Applicability and Scope

In the event of a disruption, the Executive Director will notify the Deputy Executive Director to work with department Directors to analyze the situation and determine if the COOP or a departmental COOP annex will be activated. The decision to activate the COOP is made in consultation with the President of the Board of Directors except in those circumstances where time will not permit consultation to take place. If it is determined that the Agency's essential services are threatened, then activating the COOP should be considered and resources aligned in accordance with the Plan. It may be decided that a portion of the Agency needs to enter COOP operations with greater urgency, while other functional areas will remain under normal operations and be phased into COOP operations if and when it becomes necessary.

COOP planning ensures the preservation and Reconstitution of the Agency's Mission Essential Functions. An Emergency (such as an explosion, fire, or hazardous materials Incident) may require the evacuation of the Agency's personnel with little or no notice. Building evacuation, if required, is accomplished via implementation of the Emergency Action Plan. This COOP is not an evacuation plan or an emergency management plan. The purpose of this Plan is to facilitate the Restoration of daily functions.

The COOP provides the foundation for continuity of critical services and functions and is augmented by departmental annexes developed by key department personnel.

## 1.2.1 COOP Organization

The COOP provides the framework to ensure the execution of the Mission Essential Functions for SBCTA in the event that an Incident threatens or incapacitates operations, or requires relocation of personnel and functions.

The COOP annexes provide a guide for each department to maintain Mission Essential Functions if an Emergency denies access to or destroys the Agency's primary location, or significantly reduces the capacity to provide services because of workforce reduction or failure of equipment or critical systems. The annexes supplement this document.

## 1.3 Planning Assumptions

Planning assumptions are documented to describe current operating conditions and to establish the parameters under which the plan may be activated.

### Assumptions

- SBCTA will continue to be exposed to the hazards and Risks identified in this COOP as well as other, yet unidentified hazards or Risks.
- Some or all information or communications systems may be degraded or unavailable.
- Operational capability for essential functions should be achieved within 24 hours of Activation and may need to be sustained for up to 30 days in the environment requiring COOP Activation.
- Leadership personnel will continue to recognize their responsibilities to public and employee safety and exercise their authority to implement the COOP in a timely manner when confronted with real or potential Disasters.
- SBCTA is committed to supporting service resumption and Recovery efforts at continuity facilities, if required.
- In the event of a Disaster, departments and divisions may rely on each other for assistance.
- In the event of a Disaster, resources and personnel may be extremely limited. Resumption of essential services may need to be prioritized and time-phased.
- Activation of the COOP may be required at any time. Furthermore, the COOP may be activated as a result of an Emergency Response and implementation of the Emergency Action Plan. Activation of the COOP will occur at the level necessary to resolve the situation.

## 1.4 Roles and Responsibilities

During a COOP Activation, key positions have been identified to fulfill important roles and responsibilities.

### 1.4.1 COOP Administrator (Executive Director) Responsibilities

- Approve overall policy directions, guidance, and objectives for COOP planning and Activation.

### 1.4.2 Business Continuity Manager (Risk Manager) Responsibilities

- Coordinate the COOP planning process.
- Initiate COOP maintenance meetings.
- Coordinate Test, training, and Exercises of the COOP.
- Serve as the COOP program point-of-contact.
- Serve on the COOP Planning Team.

### 1.4.3 Business Continuity Champions

The Business Continuity Champions are individuals appointed by each department as their COOP Lead and Alternate who participate in all COOP activities, including the development of the BIA, Risk Assessment, quarterly meetings, training, and Exercises. These individuals are part of the COOP Planning Team and are responsible for promoting business continuity in their individual departments and responding to COOP Activations. .

### 1.4.4 Reconstitution Manager (Deputy Executive Director)

A Reconstitution Manager may be assigned as needed and has the following responsibilities:

- Report to the COOP Administrator.
- Form a Reconstitution team, if necessary.
- Coordinate with regional partners to find suitable space if the primary location is unusable.
- Initiates and coordinates the operations to salvage, restore, and recover the primary operating facility.
- Assign appropriate staff, local building inspectors, and SBCTA insurance providers to ensure the Santa Fe Depot is structurally safe.

### 1.4.5 COOP Planning Team Responsibilities

The COOP Planning Team is composed of the Reconstitution Manager, the Director of Special Projects and Strategic Initiatives, the Business Continuity Manager, and the Department Business Continuity Champions.

- Provide overall recommendations and objectives for COOP planning.
- Coordinate with leadership personnel on policy, development, approval, and maintenance of the COOP and integration of other Emergency plans.
- Provide departmental information on essential functions, systems, personnel, and records for COOP planning and COOP update.

## San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

- Conduct reviews of COOP documents (BIA, Risk Assessment, call tree), materials, and the Plan.
- Keep the organization informed of any changes to the COOP.
- Establish, coordinate, and participate in the COOP Test, training and Exercise program.
- Identify issues that may affect the frequency of changes required to the COOP.
- Establish a review cycle.
- Develop an improvement plan for addressing Risk mitigation recommendations to mitigate continuity-specific Risks.

### 1.4.6 Responsibilities of Department Leadership

- Identify those functions that can be deferred or temporarily stopped during a COOP Activation.
- Consult with and advise appropriate officials during implementation of the COOP.
- Provide direction, guidance, and objectives during an Incident for the implementation of the COOP.
- Aid continuity efforts at the continuity facility.
- Participate in training, Testing, and Exercises of the COOP.
- Initiate appropriate notifications during COOP implementation.
- Provide input on the execution of essential functions.
- Initiate Recovery of the organization as part of Reconstitution.
- Designate personnel to assist security officials in securing office equipment and files at primary facilities when implementing the COOP.
- Coordinate with leadership personnel for movement of Key Personnel to continuity facilities when the COOP is activated.

### 1.4.7 Continuity Management Group

The Continuity Management Group is a team of individuals who have been trained to deploy to a Continuity Facility to perform Mission Essential Functions. The Continuity Management Group's composition will depend on each department's needs, but at the minimum it will be comprised of the Department Director and the COOP Champions.

## Section 2 CONCEPT OF OPERATIONS

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A Continuity of Operations Plan must be maintained at a high level of preparedness and must be ready to be implemented without significant warning. This COOP is designed to be fully implemented no later than 24 hours after Activation and provides guidance to sustain operations for up to 30 days.

The broad objective of SBCTA's COOP is to provide for the safety and well-being of SBCTA personnel and the visiting public. In addition, this COOP will facilitate the execution of Mission Essential Functions during any crisis or Emergency in which the Santa Fe Depot is threatened or inaccessible. Specific annex objectives include the following:

- Enable staff to perform Mission Essential Functions to prepare for and respond to all Threats or Emergencies, including natural, technological, and human-caused Disasters.
- Identify critical employees and supporting staff who will relocate.
- Ensure the Continuity Facility can support the operations.
- Protect and maintain Essential Records and Databases.

### 2.1 Objectives

Emergencies often occur with little or no warning, requiring immediate Activation of the COOP and commitment of resources. SBCTA's Enterprise COOP Base Plan provides an amalgamation of the data found in the departmental COOP plans. The goal of this Plan is to ensure that SBCTA can continue Mission Essential Functions throughout any potential disruptive Event.

The SBCTA Continuity objectives are listed below:

- 1) Facilitate the continuous performance of SBCTA's Mission Essential Functions under all conditions.
- 2) Reduce the loss of life and minimize property damage and loss at SBCTA related facilities and operations.
- 3) Execute a successful Order of Succession with accompanying authorities in the event a disruption renders SBCTA leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of the office.
- 4) Reduce or mitigate disruptions to SBCTA operations from major Emergencies.
- 5) Maintain the function and viability of critical Information Technology infrastructure.
- 6) Protect essential facilities, equipment, records, and other assets belonging to SBCTA, in the event of a disruption.
- 7) Achieve SBCTA's timely and orderly Recovery and Reconstitution from an Emergency.
- 8) Ensure and validate Continuity readiness through a dynamic and integrated Continuity Test, Training, and Exercise program and operational capability.

The COOP planning concept of operations is expressed in four operational periods:

- Readiness and preparedness
- Activation and relocation
- Continuity of Operations
- Reconstitution and Recovery



## 2.1.1 Readiness and Preparedness

Readiness is the ability of an organization to respond effectively to any Event that threatens its ability to continue Mission Essential Functions. It is the responsibility of an organization’s leadership to ensure that an organization can perform its Mission Essential Functions before, during, and after all-hazards Emergencies or Disasters. Readiness and preparedness activities develop the Response capabilities needed during an Emergency. Planning, training, and exercising are among the activities conducted under this phase. Feedback from these activities should be focused on improving and maintaining the COOP.

SBCTA intends to continuously establish a continuity readiness posture through the development of this continuity plan, establishing a Continuity Management Group, assigning COOP Leads and Alternates, forming a Continuity Planning Team, conducting COOP planning and training, and other continuity readiness and preparedness activities. These activities include the review and revision of COOP related plans, conducting Tests, training, and Exercises, and Risk Management.

## 2.1.2 COOP Activation

Activation occurs after a disruption to business operations triggers the need to activate the COOP. An executive decision must be made after a quick and accurate assessment of the situation to determine the best course of action for the Agency. The decision process also prevents the premature or inappropriate Activation of the COOP. The decision to activate the COOP and corresponding actions to be taken are tailored for the situation, based upon projected or actual impact and severity that may occur with or without warning. Decision-makers may use the below decision matrix to assist in the decision to activate the Continuity Plan.

Decision Matrix for Continuity Planning Implementation		
	During Duty Hours	During Non-Duty Hours
Event with Warning	<ul style="list-style-type: none"> <li>• Is the Threat aimed at the facility or surrounding area?</li> <li>• Is the Threat aimed at department personnel?</li> <li>• Are the employees unsafe remaining at the facility and/or area?</li> <li>• What are the directions and guidelines from higher authorities, state and federal?</li> <li>• What is the expected duration of the Emergency situation?</li> </ul>	<ul style="list-style-type: none"> <li>• Is the Threat aimed at the facility or surrounding area?</li> <li>• Is the Threat aimed at department personnel?</li> <li>• Who should be notified of the Threat?</li> <li>• Is it safe for employees to return to work the next day?</li> <li>• What are the directions and guidelines from higher authorities, state and federal?</li> </ul>



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Decision Matrix for Continuity Planning Implementation		
	During Duty Hours	During Non-Duty Hours
Event without Warning	<ul style="list-style-type: none"> <li>Is the facility affected?</li> <li>Are personnel affected?</li> <li>Have personnel safely evacuated or are they sheltering-in-place?</li> <li>Are the information technology and communications systems affected?</li> <li>What are the instructions from first responders?</li> <li>How soon must the department be operational?</li> <li>How long will it take for the Incident to no longer disrupt operations?</li> </ul>	<ul style="list-style-type: none"> <li>Is the facility affected?</li> <li>Are the information technology and communications systems affected?</li> <li>What are the instructions from first responders?</li> <li>How soon must the department be operational?</li> <li>Did the Incident only affect us or is it geographical?</li> </ul>

Each department has identified a procedure to notify personnel during on-duty Emergencies, off-duty Emergencies and for ongoing communications in their COOP annex.

Immediate Actions before or right after COOP Activation		
	During Duty Hours	During Non-Duty Hours
Event with Warning	<ul style="list-style-type: none"> <li>Essential staff is alerted via on-duty notification procedure prior to COOP Activation.</li> <li>Partial Activation of the COOP with notification and deployment of Key Personnel.</li> <li>Dissemination of messages to staff and the public.</li> <li>IT issues guidance to staff for protection of data and equipment.</li> <li>Essential staff will assemble Essential Records, software, hardware, and other documents and equipment to perform essential functions to prepare for potential COOP Activation. Coordinate with management services.</li> <li>Essential staff and IT vendor will back up essential automated databases, and prepare designated essential equipment for possible COOP Activation.</li> </ul>	<ul style="list-style-type: none"> <li>Essential staff is alerted via off-duty notification procedure prior to COOP Activation.</li> <li>Recall of Key Personnel to report to work for partial/full Activation of COOP.</li> <li>SBCTA staff are provided a briefing on the situation.</li> <li>IT issues guidance to staff for protection of data and equipment.</li> <li>If safe, essential staff will report to primary work location to assemble Essential Records, software, hardware, and other documents and equipment to perform essential functions to prepare for potential COOP Activation.</li> <li>Essential staff and IT vendor will back up essential automated databases, and prepare designated essential equipment for possible COOP Activation.</li> </ul>

## San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

Immediate Actions before or right after COOP Activation		
	During Duty Hours	During Non-Duty Hours
Event without Warning	<ul style="list-style-type: none"> <li>Depending on systems status, essential staff is notified for possible COOP Activation.</li> <li>Depending on the status of primary facilities, staff may evacuate and relocate to a Continuity Facility which is primarily their home office.</li> <li>Depending on the status of primary facilities, essential staff may be sent home if COOP Activation is not necessary.</li> <li>IT will take whatever measures possible to protect data and equipment.</li> <li>If possible, essential staff will take Essential Records, software, hardware, and other documents and equipment in order to perform essential functions if COOP is activated.</li> <li>If time permits essential staff and IT vendor will back up essential automated databases, and prepare designated essential equipment for possible COOP Activation.</li> </ul>	<ul style="list-style-type: none"> <li>Depending on systems status, essential staff are notified to report to work for partial/full Activation of COOP.</li> <li>Depending on the status of the primary facilities, essential staff may start working from home office.</li> <li>Depending on the status of primary facilities, non-essential staff may be sent home. Depending on system status, non-essential staff may be required to work from home.</li> <li>IT will report to Directors to take whatever measures possible to protect data and equipment.</li> <li>If possible, essential staff will report to primary facility to retrieve Essential Records, software, hardware, and other documents and equipment in order to perform essential functions if COOP is activated.</li> <li>Essential staff and IT vendor will back up databases, and prepare designated essential equipment for possible COOP Activation.</li> </ul>

### 2.1.3 COOP Relocation

The COOP is activated when the Agency’s normal operations are interrupted for an extended period of time or an Incident requiring relocation appears imminent.

Each department’s management or designated successors must assess the nature of the Incident and decide which Response actions will be needed and coordinate those actions with the Deputy Executive Director. Typically, these actions include:

- Relocation to the Continuity Facility**

Relocation to an Alternate Facility occurs when a primary facility is damaged and rendered inoperable or unsafe and staff must evacuate. SBCTA identified the employee’s home office to be the alternative facility except for two Mission Essential Functions. An alternative facility for those functions is being identified and will be included in future updates of the COOP.

- Telework**

Depending on the disruption, Continuity Management Group members and non-continuity personnel may be advised to work remotely and not report to the primary facility or a Continuity Facility.

## San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

- **Devolution**

Devolution planning supports overall COOP preparation. It addresses catastrophic Disasters and Incidents that render management and staff unavailable or incapable of executing Mission Essential Functions from either the Agency's primary or alternate location.

- **Temporary suspension of operations**

Depending on the nature of the disruptive Incident and severity, some operations may be suspended temporarily.

Depending on the nature of the disruptive Incident, it may be prudent to use a mixture of the previous four options to achieve efficiency of Mission Essential Functions.

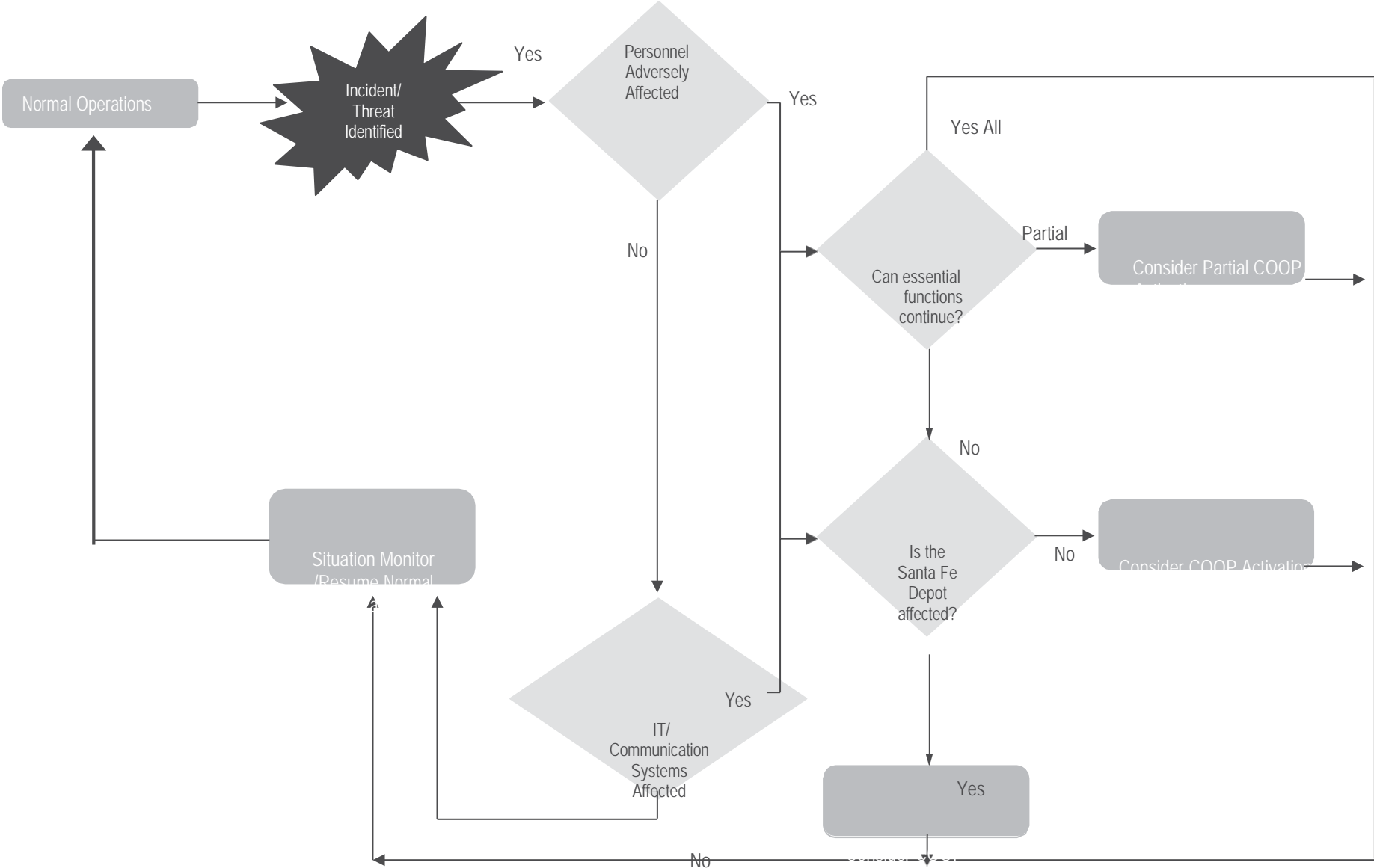
Continuity procedures during work hours, with or without warning, will be implemented as follows:

- Continuity Management Group members will depart to the Continuity Facility (primarily the employee's home office) from the operating facility.
- At the time of notification, any available information regarding safety precautions and routes to use when leaving the primary operating facility will be provided.
- Non-continuity personnel present at the Santa Fe Depot or another location will receive instructions from their management staff. In most cases, non-continuity personnel will be directed to proceed to their homes and work from there or wait for further guidance.
- Non-continuity personnel may be required to replace or augment Continuity Management Group members during Activation.

Since each employee's home office is the Continuity Facility, employees must report immediately upon arriving to their homes for check-in.

Figure 2-1 is a relocation decision matrix which depicts the decision process used to determine if relocation to an Alternate Facility is necessary.

Figure 2-1 Relocation Decision Matrix





## 2.1.4 Continuity of Operations

Departments will continue to operate at the primary operating facility until ordered to cease operations by the Executive Director, Deputy Executive Director, and/or Department Director. At that time, Mission Essential Functions will transfer to the Continuity Facility. Federal guidance recommends departments be operational 12 hours after a disruptive Incident and maintain operations for 30 days if the Event lasts that long. However, given the resource limitations, these timeframes may not be feasible. SBCTA will strive to meet COOP best practices. Phase 3 is established once the staff arrives at the alternate location or adopts their identified continuity tasks.

The operations phase focuses on continuing Mission Essential Functions:

- Accounting for all personnel
- Performing essential functions
- Establishing communications
- Assessing COOP effectiveness and adjusting the Response accordingly
- Preparing for Reconstitution of all functions

Once the Incident has ended, business functions can be resumed.

## 2.1.5 Reconstitution

Reconstitution is the transition back to normal operations in the primary operating facility. The Reconstitution Manager and his team will deal with the complexity of Reconstitution issues.

Reconstitution focuses on restoring business operations to normal or improved services. This phase is initiated once all Mission Essential Functions have been restored. Activities associated with Reconstitution include:

- Coordinating operations to salvage, restore, and recover the Agency's primary operating facility.
- Supervising an orderly return to the normal operating facility, a move to another temporary facility, or a move to a new permanent operating facility.
- Verifying that all systems, communications, and other required capabilities are available and operational, and ensuring the capability to accomplish all essential functions and operations at the new or restored facility.
- Identifying if any records were affected by the Incident and ensuring the effective transition or Recovery of Essential Records and Databases.

Reconstitution will commence when each department's management staff ascertains that the disruptive Incident has ended and is unlikely to reoccur.

Depending on the type of disruptive Incident, reentry to the primary facility will require approval to ensure the building is safe. The Reconstitution Manager will be responsible for coordinating the inspection of the primary facility and will inform staff when reentry is safe.

The Management Services department will lead Reconstitution efforts for loss of building, loss of personnel and loss of network infrastructure.

## 2.1.6 Alert and Notification Process

### Alert Procedures

Depending on the situation, COOP staff may be put on alert. Procedures for alerting and notifying staff are in each departmental annex. The Orders of Succession identify which individuals will be alerted.

### Notification Procedures

During an Incident that triggers COOP Activation, each department annex contains the procedures to notify personnel for on-duty Emergencies, off-duty Emergencies, and ongoing communications.

## 2.2 Mission Essential Functions

The identification and prioritization of Mission Essential Functions is the first and most important step for a continuity plan. Each COOP annex is centered on the department's Mission Essential Functions. It serves as an operational guide to facilitate the relocation of department staff to a Continuity Facility and the Backup of critical systems and vital records so that Mission Essential Functions may continue. The level and manner of support needed to continue Mission Essential Functions depends on the nature of an Incident. Each annex includes a list of the department's Mission Essential Functions. For each mission essential function identified, the list also identifies personnel required to execute the function, the level of priority assigned to the function, and the resources required to support the function. Appendix B includes a matrix of SBCTA's essential functions.

This Plan assumes that a disruptive Incident will prevent or delay the delivery of services normally provided by a given department. The intent of this document is to identify Mission Essential Functions for each department, based on the criteria below, and develop strategies to support the continued or restored delivery of these services as quickly and efficiently as possible.

Mission Essential Functions are critical areas of business that must continue even during a disruptive Incident to:

- Ensure the health and safety of SBCTA staff, partners, and stakeholders
- Protect life and property
- Provide critical services
- Preserve credibility
- Maintain/secure funding sources
- Minimize legal exposure

### 2.2.1 Guidelines and Criteria for Prioritization of Mission Essential Functions

In addition to identifying which functions are necessary to support the Agency's operations, the Recovery Time Objective (RTO) should be determined for each mission essential function. The RTO is the maximum amount of time the function can be interrupted before it must be restored to an acceptable level of operation after an Incident.

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To ensure that Mission Essential Functions are restored in the order of their time criticality, functions should be categorized using a tier classification system. The following system has been established to prioritize the Agency’s Mission Essential Functions according to time criticality (see Appendix E).

**Table 1: Recovery Time Objective Matrix**

Tier	Ratings	Priority
1	<b>IMMEDIATE:</b> These functions have a direct and immediate effect on the organization to ensure the safety of individuals and protect property. These functions must be established within the first 12 hours up to 24 hours.	up to 24 hours
2	<b>CRITICAL:</b> These functions can be delayed until Tier 1 functions are restored but must be operational within 72 hours.	24-72 hours
3	<b>NECESSARY:</b> These functions can be delayed until Tier 1 and Tier 2 functions are restored but must be operational within 1 week.	72 hours-1 week
4	<b>IMPORTANT:</b> These functions can be delayed until Tier 1, Tier 2, and Tier 3 functions are restored but must be established within 30 days.	1 week-30 days

If a function is necessary to keep another function operating, then it should have a shorter priority RTO. Such functions include IT systems, building maintenance, and human resources.

## 2.3 Orders of Succession

Orders of Succession are activated when leadership is unable or unavailable to execute their duties during an Emergency. Departments must establish, disseminate, and maintain their Orders of Succession by COOP critical positions. Orders of Succession are addressed through internal policy. Key Personnel for SBCTA leadership and their successors have been identified in Table 2.

**Table 2: Leadership Orders of Succession**

Principal Position #1	Successor Position	
<b>Board President</b>	Successor #1	Board Vice-President
	Successor #2	Past President
Principal Position #2	Successor Position	
<b>Executive Director</b>	Successor #1	Deputy Executive Director
	Successor #2	Director of Fund Administration
Principal Position #3	Successor Position	
<b>General Counsel</b>	Successor #1	Assistant General Counsel



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Principal Position #4		Successor Position
Deputy Executive Director	Successor #1	Director of Planning
	Successor #2	Chief of Management Services
	Successor #3	Chief of Air Quality and Mobility Programs
Principal Position #5		Successor Position
Clerk of the Board	Successor #1	Deputy Clerk of the Board
	Successor #2	Assistant to the Clerk of the Board
Principal Position #6		Successor Position
Chief Financial Officer	Successor #1	Chief of Fiscal Resources
	Successor #2	Accounting Supervisor
	Successor #3	Director of Special Projects and Strategic Initiatives
Principal Position #7		Successor Position
Director of Fund Administration	Successor #1	Chief of Fund Administration
	Successor #2	Director of Planning
Principal Position #8		Successor Position
Director of Legislative and Public Affairs	Successor #1	Chief of Legislative and Public Affairs
	Successor #2	As assigned
Principal Position #9		Successor Position
Director of Planning	Successor #1	Chief of Planning
	Successor #2	Senior Planner
Principal Position #10		Successor Position
Director of Project Delivery and Toll Operations	Successor #1	Project Delivery Manager
	Successor #2	Construction Manager
	Successor #3	Corridor Manager
	Successor #4	Project Controls Manager
Principal Position #11		Successor Position
Director of Special Projects and Strategic Initiatives	Successor #1	Procurement Manager
	Successor #2	Risk Manager
	Successor #3	Chief Financial Officer
	Successor #4	Chief of Management Services
Principal Position #12		Successor Position
Director of Transit and Rail Programs	Successor #1	Chief of Transit and Rail Programs
	Successor #2	Transit Manager
	Successor #3	Director of Project Delivery and Toll Operations

## 2.4 Delegations of Authority

Delegations of Authority are either administrative and/or Emergency based. Certain incumbents in positions specified in the Orders of Succession are delegated authority to perform all duties and responsibilities of the department head or leadership when this is required. Delegations of Authority for each department are listed in the COOP annexes. Delegation of Authority should be exercised only when immediate action is required and a superior is unable to exercise the authority. An individual acting as successor should be relieved of his or her authority once a superior on the list becomes available, is able, and assumes the role of the successor. An individual exercising the authority of a superior should record important actions taken and the period during which the authority is exercised. Planning for Delegations of Authority involves the following:

- Identifying which authorities can and should be delegated
- Describing the circumstances under which the delegation would be exercised, including when it would become effective and when it would be terminated
- Identifying limitations of the delegation
- Documenting to whom authority should be delegated
- Ensuring designees are trained to perform their Emergency duties

Each departmental annex has identified the authority to be delegated, position holding authority, and limitations to their authority. Delegations of Authority for key leadership for SBCTA are identified in Table 3.

Table 3: Delegations of Authority

Successor to Principal Position 1	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 1: Board President</b>		
1. Board Vice-President	Full	
2. Past President	Full	
Successor to Principal Position 2	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 2: Executive Director</b>		
1. Deputy Executive Director	Full	
2. Director of Fund Administration	Full	
Successor to Principal Position 3	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 3: General Counsel</b>		
Assistant General Counsel	Full	
Successor to Principal Position 4	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 4: Deputy Executive Director</b>		
1. Director of Planning	Limited	COG functions only
2. Chief of Management Services	Limited	Management Services functions only
3. Chief of Air Quality and Mobility Programs	Limited	Air Quality and Mobility functions only

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Successor to Principal Position 5	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 5: Clerk of the Board</b>		
1. Deputy Clerk of the Board	Full	
2. Assistant to the Clerk of the Board	Full	
Successor to Principal Position 6	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 5: Chief Financial Officer/</b>		
1. Chief of Fiscal Resources	Full	
2. Accounting Supervisor	Full	
3. Director of Special Projects and Strategic Initiatives	Full	
Successor to Principal Position 7	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 7: Director of Fund Administration</b>		
1. Chief of Fund Administration	Full	
2. Director of Planning	Full	
Successor to Principal Position 8	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 8: Director of Legislative and Public Affairs</b>		
Chief of Legislative and Public Affairs	Full	
Successor to Principal Position 9	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 9: Director of Planning</b>		
1. Chief of Planning	Full	
2. Senior Planner	Full	
Successor to Principal Position 10	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 10: Director of Project Delivery and Toll Operations</b>		
1. Project Delivery Manager	Limited	For pre-construction phase
2. Construction Manager	Limited	Construction functions only
3. Corridor Manager	Limited	Construction functions for Express lanes functions only
4. Project Controls Manager	Limited	For pre-construction phase and project controls functions
Successor to Principal Position 11	Delegation of Authority (Full or Limited)	Description of Limitations
<b>Principal Position 11: Director of Special Projects and Strategic Initiatives</b>		
1. Procurement Manager	Limited	Must follow Policy 10006 for settlement authority.
2. Risk Manager	Limited	Must follow Policy 10006 for settlement authority.
3. Chief Financial Officer	Limited	Must follow Policy 10006 for settlement authority.
4. Chief of Management Services	Limited	Enterprise Resource Planning function only

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Successor to Principal Position 12	Delegation of Authority (Full or Limited)	Description of Limitations
Principal Position 12: Director of Transit and Rail Programs		
1. Chief of Transit and Rail Programs	Full	
2. Transit Manager	Limited	Non-engineering decisions only
3. Director of Project Delivery and Toll Operations	Limited	For Capital projects only

## 2.5 Critical Resources

Critical resources are the staff, equipment, and systems required to support Mission Essential Functions. During the planning process, the designated COOP Lead coordinated the evaluation of Mission Essential Functions and listed the corresponding equipment and systems.

COOP Planning Team members must ensure that unique Critical Equipment and critical information system requirements are considered in planning and, if appropriate, identified as capabilities to be provided by support functions at the continuity facilities. Departments and divisions shall maintain all necessary and up-to-date files, computer software, and databases required to carry out Mission Essential Functions. Each annex lists the critical systems and Critical Equipment necessary to reestablish the department’s Mission Essential Functions.

## 2.6 Essential On Premise Records

Essential Records are records that, if damaged or destroyed, 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 two formats: paper or electronic files.

SBCTA 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 following maintenance strategy has been identified by the COOP Planning Team for departments and divisions to protect Essential Records:

- The data center has a Backup solution consisting of one onsite storage Backup appliance with secondary Backup to the Unitrends Cloud.
- Server and application Backups are performed in accordance with IS-Instruction No. 1007 SBCTA computer network Backup procedure  
<https://portal.sanbag.ca.gov/mgmt/Intranet/ppmgmntsvcs/Information%20Services%20Library/IS-Instruction%201007.docx>.
- IT has established a Disaster Recovery site in the Cloud that is continuously synched from the SBCTA office for critical systems as specified in Procedure 15000 Computer Network Disaster Planning Recovery Plan – Test Procedure  
<http://portal.sanbag.ca.gov/mgmt/Intranet/ppmgmntsvcs/Procedures%20Library/Procedure15000.docx>.

SBCTA personnel are advised to:

- Save data to network drives.
- Scan hardcopy documents to the network drives.
- Manage and retain records as required by SBCTA records retention policy.

## 2.7 Continuity Facility

Each department recognizes that normal operations may be disrupted and that there may be a need to perform Mission Essential Functions at a Continuity Facility. At this time, SBCTA staff will utilize their home office as the Continuity Facility. Furthermore, SBCTA identified two Mission Essential Functions that require an alternative facility due to compliance with the Brown Act in regards to holding public meetings. At this time, SBCTA is working on identifying and securing an alternate location to be used only for those functions.

## 2.8 Communications

Communications, or the ability for personnel to communicate internally and externally, is critical during Emergencies. The list below identifies communications systems available to SBCTA to communicate with other departments, emergency response units, the media, and external stakeholder agencies and organizations:

- Land line phone (voice/fax) system
- Internet access, E-mail, and SBCTA website
- Personal cell phones
- Emergency Alert Notification System – EZ texting

Critical information systems used to accomplish Mission Essential Functions during normal operations at the primary location must be accessible at the Continuity Facility. In addition, SBCTA personnel should make sure that critical data is stored in such a way that it can be backed up regularly. Each department will coordinate with the IT Department on the specific technical support needed during COOP Activation.

Table 4 describes each of the communication systems that might be used, the department responsible for maintaining the system, and the Key Personnel responsible for updating and implementing these systems when needed.

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Table 4: SBCTA Communications Systems Matrix

Communication System	System Description	Responsible Department
Land line phone	Office phones to use as a primary source of communications.	Management Services – Chief of Management Services/City of Brea
Internet Access and Email	Access to the Internet through SBCTA computers and other devices. Messages sent via Email.	Management Services – Chief of Management Services/City of Brea
SBCTA website	Messages posted on website.	Office of Legislative and Public Affairs – Chief of Legislative and Public Affairs
EZ texting	Emergency texting system use to inform SBCTA Board and management about Incidents at SBCTA construction zones or within the freeways. This tool is also used to inform all SBCTA Board and staff of an Incident at the Santa Fe Depot Facility.	Office of Legislative and Public Affairs – Chief of Legislative and Public Affairs and Management Analyst III

## 2.9 Devolution of Command and Control

Devolution is the transfer of legal and statutory obligations from one entity to another entity at a Continuity Facility or Devolution site. The Devolution option may be used when the organization’s primary operating facility, alternate site, and/or staff are not available. Devolution requires the transition of roles and responsibilities for performance of essential functions through pre-authorized Delegations of Authority and responsibility.

The authorities are delegated from an organization’s primary operating staff to other employees internal or external to the organization in order to sustain essential functions for an extended period. Devolution supports the overall COOP and ensures the continuation of Mission Essential Functions. In this situation, management and leadership responsibility and Mission Essential Functions will devolve to the designated Devolution department or agency.

SBCTA identified several Mission Essential Functions that can be devolved to personnel within the agency. Also, SBCTA identified a few essential functions that cannot be devolved internally or externally at this time. SBCTA will continue to work on identifying cross-training opportunities or partnerships to help support those functions during a major disruptive Incident. Lastly, SBCTA does not have any Devolution agreements in place at this time. However, several of the Mission Essential Functions can be performed by current vendors. SBCTA will continually assess which vendor contracts need amendments to define Devolution activities as part of their respective scope of work.

## Section 3 RISKS, VULNERABILITIES, AND MITIGATION STRATEGIES

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Risk Management is a process to identify, control, and minimize the impact of uncertain Incidents. Each department will continuously assess the Risks to organizational readiness and develop strategies to mitigate these Risks. Risk Management is a continuous process of assessing Risk exposures, decision-making, implementation of decisions, evaluation of effectiveness, and re-assessment of those Risks.

The FEMA Continuity Guidance for Non-Federal Governments recommends a Risk Assessment of the Vulnerability of the organization and its essential functions to the identified hazards be completed (CGC 2 Annex D, Page D-3). SBCTA’s Vulnerability depends on the probability of an Incident occurring and the impact the Incident could have on personnel, facilities, infrastructure, operations, and the performance of essential functions.

Table 5 lists the hazards that pose a Threat to the SBCTA include:

Table 5: Hazards

Natural Hazards	Technological Hazards	Human Caused Hazards
<ul style="list-style-type: none"> <li>• Earthquakes</li> <li>• Flooding</li> <li>• Fires</li> </ul>	<ul style="list-style-type: none"> <li>• Dam Failure/Inundation</li> <li>• Hazardous Materials Incidents</li> <li>• Mass Casualty Incidents</li> <li>• Building Collapse or Explosion</li> <li>• Train Derailed</li> <li>• Utility Outage</li> </ul>	<ul style="list-style-type: none"> <li>• Terrorist Attacks</li> <li>• Civil Disturbance</li> <li>• Cyber Attacks</li> <li>• Public Health Emergencies</li> </ul>

Creating viable options for managing Risks and Vulnerabilities is done through deciding on and implementing Risk Management strategies and actions. Continuity elements related to hazard Risk and Vulnerabilities include human capital, alternate facilities, interoperable communications equipment and systems, vital records and databases, and other vital equipment and systems. The actions related to continuity elements include:

To prepare for a continuity Incident, each department must be prepared to handle three types of Emergencies: a localized Emergency requiring relocation to an alternate site; a widespread Emergency requiring relocation to an alternate site; and a widespread Emergency NOT requiring relocation to an alternate site.

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The indicators for the types of Emergencies and corresponding COOP relocation activities are listed below:

1. Localized Emergency Requiring Relocation to Alternate Site
  - The Santa Fe Depot facility sustained damage.
  - COOP alternate site is available and or employees' home offices are available.
  - The facility is currently closed for normal business activities, but the Incident has not affected surrounding buildings, utilities, or transportation systems.
  - Employees can perform operations from home office.
  - Will require continuity of all critical essential functions.
2. Widespread Emergency Requiring Relocation to Alternate Site
  - The Santa Fe Depot facility sustained damage.
  - The surrounding area is affected.
  - COOP alternate sites may or may not be available.
  - Parts of major infrastructures (power, sewage, transportation, etc.) may have sustained damage.
  - Employees can perform operations from home office.
  - Will require continuity of all critical essential functions.
3. Widespread Emergency NOT Requiring Relocation to Alternate Site
  - The Santa Fe Depot facility did not sustain damage and remains open.
  - One or more departments of the Agency experiences high levels of employee absenteeism.
  - COOP operations will be conducted from the primary location.
  - Will require continuity of all critical essential functions as well as long-term essential functions.



## Section 4 MULTIYEAR STRATEGY AND PROGRAM MANAGEMENT

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SBCTA leadership and the COOP Planning Team will develop standards to help departments and divisions implement the COOP program. While the COOP and annexes serve as the guide during Activation and Recovery, the COOP program involves the framework for operational decisions to promote COOP planning. It involves making continuity planning a part of day-to-day operations through initiatives like monitoring protection methods for Essential Records, inventorying critical systems and equipment, implementing cross-training for critical employees, and establishing mutual aid agreements for facilities and personnel, etc. The COOP program ensures that the COOP reflects the current environment and that staff members are prepared to respond during COOP implementation.

SBCTA Strategy and Plan Maintenance are as follows:

Plan revisions due to changes in the structure, Mission Essential Functions, or mission of participating departments should be made promptly. Long-term Plan Maintenance should be undertaken carefully, planned for, and completed according to an established schedule.

During the development of this Plan, the COOP Planning Team identified the following Plan Maintenance strategies:

- Distributing and communicating the COOP to departments and divisions
- Ensuring departmental review of the overarching Plan and annexes
- Identifying issues that affect the frequency of changes required to the COOP, including but not limited to:
  - Changes to the Risk profile
  - Government imposed changes
  - Implementation of new services and/or functions
  - Significant changes to the external environment
  - Significant changes to business processes or systems
- Establishing a review cycle

Table 6 provides a guide to the COOP Planning Team for scheduled maintenance and updates of the COOP.

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**Table 6: Plan Maintenance Strategy**

Activity	Tasks	Frequency	Responsibility
Update and certify Plan.	<ul style="list-style-type: none"> <li>• Review entire Plan for accuracy.</li> <li>• Incorporate lessons learned and changes in policy and philosophy.</li> <li>• Manage distribution.</li> </ul>	Annually	Risk Management Division assists departments/divisions review annexes. Risk Management Division reviews overarching COOP.
Maintain Orders of Succession and Delegations of Authority.	<ul style="list-style-type: none"> <li>• Identify current incumbents.</li> <li>• Update rosters and contact information.</li> </ul>	Annually	Departments/divisions provide information to Business Continuity Manager
Maintain continuity location readiness.	<ul style="list-style-type: none"> <li>• Check all systems.</li> <li>• Verify accessibility.</li> <li>• Cycle supplies and equipment as necessary.</li> </ul>	Quarterly	Departments/divisions
Monitor and maintain Essential Records program.	<ul style="list-style-type: none"> <li>• Monitor volume of materials.</li> <li>• Update/remove files.</li> </ul>	Ongoing	Departments/divisions
Update contact information for Key Personnel.	<ul style="list-style-type: none"> <li>• Confirm/update Key Personnel information.</li> </ul>	As changes occur, or no less than semi-annually	Departments/divisions provide information to Business Continuity Manager
Update contact information for vendors and stakeholders	<ul style="list-style-type: none"> <li>• Confirm/update key vendor/stakeholder information.</li> </ul>	Semi-annually	Departments/divisions provide information to Business Continuity Manager
Make new staff aware of COOP.	<ul style="list-style-type: none"> <li>• Conduct COOP awareness training for new staff.</li> </ul>	Within the first 90 days of employment	Risk Management Division
Plan and conduct Exercises.	<ul style="list-style-type: none"> <li>• Conduct internal COOP Exercises.</li> </ul>	Annually	Risk Management Division

## Section 5 TEST, TRAINING, AND EXERCISE

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The Test, training and Exercise program will ensure that department employees are aware of their roles and responsibilities in COOP implementation. Regularly scheduled Exercises are critical to ensuring that the COOP can be implemented during an Emergency. Exercising is one of the most effective ways to discover and document necessary modifications. The Test, training and Exercise program should be progressive in nature, building from simple, individual tasks to complex, multi-organizational interactions. The program should contain activities that include build-on training and improve capabilities through a series of Tests and Exercises.

### 5.1 Training

The following subject matter should be considered for the COOP training program:

- Mission Essential Functions and operations
- Operational elements of the overarching COOP and departmental annexes
- COOP triggers, Activations, and decision-making
- Continuity facilities and resumption of normal operations
- Leadership during a COOP Activation
- Safety strategies and policies including proper use of personal protective equipment

#### 5.1.1 New Personnel

All new personnel working for the SBCTA shall receive COOP awareness training as part of their new employee orientation. The training will be conducted by the Business Continuity Manager within 60 days of an employee's first day of employment. New employee contact information will be updated on the department's internal call tree list. Each department is responsible for providing job-specific COOP and safety training for all new employees in their department.

### 5.2 Testing Program

Testing is demonstrating if the equipment, procedures, processes, and systems that support the Agency's Mission Essential Functions are operating correctly. Testing reveals whether equipment and systems conform to specifications and operate in the required environments. Testing validates or identifies for correction of specific aspects of a COOPs procedures and processes. Periodic Testing also helps ensure that equipment and procedures are maintained in a constant state of readiness.

## 5.2.1 Testing Schedule

It is recommended that Testing and Exercise plans provide for the following elements:

- Testing staff as part of the Agency's Exercise program to ensure the ability to perform Mission Essential Functions.
- Periodically Testing alert and notification procedures and systems for all types of Emergencies.

## 5.3 Exercises

Individual and collective Exercises that vary in size and complexity will be conducted to validate elements of the COOP. Exercises will realistically simulate an Emergency so that individuals and departments and divisions can demonstrate fulfillment of tasks expected of them in a real Incident. Exercises promote overall preparedness; validate plans, policies, procedures, and systems; determine effectiveness of command, control, and communication functions; and evaluate preparation for Incident scene activities.

### 5.3.1 After Action Report

The evaluation of Exercises or actual Incidents will identify areas for improvement and provide recommendations to enhance Agency's preparedness. Following the Exercise or actual Incident, a comprehensive debriefing and after action report will be completed. The Business Continuity Manager, or a designee, will be responsible for coordinating the debriefing and developing the after action report. All data collected will be incorporated into an improvement plan that provides input for annual COOP revisions.

## GLOSSARY

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### Acronyms

<b>COOP</b>	Continuity of Operations
<b>CGC</b>	Continuity Guidance Circular
<b>FEMA</b>	Federal Emergency Management Agency
<b>FOUO</b>	For Official Use Only
<b>IT</b>	Information Technology
<b>RTO</b>	Recovery Time Objective

### Definitions

**Activation:** When all or a portion of the COOP has been implemented.

**Backup (Data):** A process by which data, electronic or paper-based, is copied in some form so as to be available and used if the original data is lost, destroyed, or corrupted.

**Business Impact Analysis (BIA):** A process designed to prioritize business functions by assessing the potential quantitative (financial) and qualitative (non-financial) impact that might result if a department were to experience a Business Continuity Event.

**Business Continuity Management Program:** A holistic approach for managing Risk related to disruptive events to ensure that an agency can continue to deliver its Mission Essential Functions.

**Continuity Facility (Alternate Facility):** An alternate operating location to be used for business functions when the primary facilities are inaccessible. 1) Another location, computer center, or work area designated for Recovery. 2) A location, other than the main facility, that can be used to conduct business functions. 3) A location, other than the normal facility, used to process data and/or conduct critical business functions in the event of a Disaster.

**Continuity Management Group (CMG):** Teams of individuals who have been trained to deploy to a Continuity Facility to continue essential functions. The team will be composed at the minimum of the COOP owner (department Director and the COOP Lead or COOP Alternate which are identified as the COOP Champions.

## San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

**Continuity of Operations:** The activities of individual units and agencies and their subcomponents to ensure that their Mission Essential Functions are continued under all circumstances. This includes plans and procedures that delineate Mission Essential Functions; specify Orders of Succession and Delegations of Authority; provide for the safekeeping of vital files, records, and databases; identify continuity facilities; provide for interoperable communications; and validate the plan through Tests, training, and Exercises.

**Continuity of Operations Plan Champions:** Individuals that understand business continuity and participate in the development of the Business Impact Analysis, Risk Assessment, and training and Exercises. These individuals are part of the Continuity Management Group.

**Continuity of Operations Plan (COOP):** A COOP plan provides guidance on the system Restoration for Emergencies, Disasters, and mobilization, and for maintaining a state of readiness to provide the necessary level of information processing support commensurate with the mission requirements/priorities identified by the respective functional proponent. The Federal Government and its supporting agencies traditionally use this term to describe activities otherwise known as Disaster Recovery, Business Continuity, Business Resumption, or Contingency Planning.

**Critical Equipment:** Includes specific equipment required to reestablish a mission essential function.

**COOP:** Acronym for Continuity of Operations Plan which is a plan to ensure the continuance of essential functions and services and the resumption of time-sensitive operations in the event of an Emergency or Disaster.

**COOP Administrator:** Responsible for approving overall policy directions, guidance, and objectives for COOP planning and Activation. This position is fulfilled by the Executive Director.

**Delegations of Authority:** Specifies who is authorized to act on behalf of the department head and other COOP critical officials for specific purposes.

**Dependency:** The reliance, directly or indirectly, of one activity or process upon another.

**Devolution:** Delegation of Authority or duties to a subordinate or substitute in the event of the total dismantlement of an organization and loss of personnel.

**Disaster:** An Incident that renders a department unable to provide critical business functions. Similar terms: business Interruption, outage, and catastrophe.

**Disaster Recovery Plan:** The management-approved document that defines the resources, actions, tasks, and data required to manage the Recovery effort. Usually refers to the technology Recovery effort - see SBCTA policy 15000 Computer Network Disaster Recovery Plan Policy. This is a component of the Business Continuity Management Program.

**Emergency:** An unexpected or impending situation that may cause injury, loss of life, destruction of property, or that may cause the interference, loss, or disruption of a department's normal business operations to such an extent that it poses a Threat.

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**Essential Records and Databases:** Files, records, or databases that, 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 department's ability to maintain Mission Essential Functions.

**Event:** Any occurrence that may lead to a Business Continuity Incident.

**Exercise:** A people-focused activity designed to execute business continuity plans and evaluate the individual and/or department performance against approved standards or objectives. Exercises can be announced or unannounced and are performed for the purpose of training and conditioning team members and validating the business continuity plan. Exercise results identify plan gaps and limitations and are used to improve and revise the business continuity plans. Types of Exercises include: Tabletop Exercise, Simulation Exercise, Functional Exercise, Operational Exercise, Mock Disaster, Desktop Exercise, and Full-scale Exercise.

**Incident:** Any occurrence that may lead to disruptive conditions.

**Interruption:** An outage caused by the failure of one or more communications links with entities outside of the primary location.

**Key Personnel:** Personnel designated by their department as critical to the resumption of Mission Essential Functions and services.

**Mission Essential Functions:** Activities, processes, or functions that could not be interrupted or unavailable for several days without significantly jeopardizing the operation of the department.

**Network Outage:** An Interruption in system availability because of a communication failure affecting a network of computer terminals, processors, or workstations.

**Plan Maintenance:** The management process of keeping a department's Continuity of Operations Plans current and effective. Maintenance procedures are a part of the process of reviewing and updating the Continuity of Operations Plans on a defined schedule.

**Orders of Succession:** Identifying alternates for senior and other key positions during an Emergency in the event any of those officials are unavailable to execute their legal and/or essential duties.

**Reconstitution:** The process of planning for and/or implementing the restarting of defined business processes and operations following a Disaster. This process commonly addresses the most critical business functions within Business Impact Analysis-specified timeframes.

**Reconstitution Manager:** Appointed based on nature and type of Emergency. Reports to COOP Administrator.

**Recovery:** Implementing the prioritized actions required to return the processes and support functions to operational stability following an Interruption or Disaster.

**Record Retention:** Storing historical documentation for a set period, often mandated by state and federal law.

**Recovery:** Includes all types of Emergency actions dedicated to the continued protection of the public or to promoting the resumption of normal activities in the affected area.

**Recovery Time Objective:** The period of time that a function can be suspended before its impact on the department is unacceptable.

**Repository:** A storage place for object models, interfaces, documents and files.

**Response:** Those activities and programs designed to address the immediate and short-term effects of the onset of an Emergency or Disaster.

**Restoration:** The process of planning for and/or implementing procedures for the repair of hardware, relocation of the primary site and its contents, and return to normal operations at the permanent operational location.

**Risk:** The potential for exposure to loss. Risks, either man-made or natural, are constant. The potential is usually measured by its probability in years.

**Risk Assessment/Analysis:** The process of identifying and minimizing the exposures to certain Threats that a department may experience. Similar terms: impact assessment, corporate loss analysis, Risk identification, exposure.

**Risk Management:** is the identification, evaluation, and prioritization of Risks followed by coordinated and economical application of resources to minimize, monitor, and control the probability or impact of unfortunate Events.

**Simulation Exercise:** One method of exercising teams in which participants perform some or all of the actions they would perform in the event of plan Activation. Simulation Exercises, which may involve one or more teams, are performed under conditions that at least partially simulate “Disaster mode.” They may or may not be performed at the designated alternate location, and they typically use only a partial Recovery configuration.

**Tabletop Exercise:** One method of exercising teams in which participants review and discuss the actions they would take per their plans, but in which they do not perform any of these actions. The Exercise can be conducted with a single team or multiple teams, typically under the guidance of Exercise facilitators.

**Test:** A pass/fail evaluation of infrastructure (e.g., computers, cabling, devices, hardware) and/or physical plant infrastructure (e.g., building systems, generators, utilities) to demonstrate the anticipated operation of the components and system. Tests are often performed as part of normal operations and maintenance. Tests are often included within Exercises.

**Threat:** A combination of the Risk, the consequence of that Risk, and the likelihood that the negative Event will take place. (Example Threats: natural, man-made, technological, and political Disasters.)

**Vulnerability:** The susceptibility of a department to a hazard. The degree of Vulnerability to a hazard depends upon the Risk of the hazard occurring and potential consequences.



## Appendix A: Department Official Responsible for Activating the COOP Plan by Department

This table is designed to provide an overall view of the officials within each department who are responsible for activating their department’s COOP Plan.

Table 7: Department Official Responsible for Activating COOP Plan by Department

Department	Official Responsible for Activating COOP Plan
Air Quality and Mobility Programs	Deputy Executive Director
Council of Governments	Deputy Executive Director
Executive Office	Executive Director
Finance	Chief Financial Officer
Fund Administration	Director of Fund Administration
General Counsel	General Counsel
Legislative and Public Affairs	Director of Legislative and Public Affairs
Management Services	Deputy Executive Director
Planning	Director of Planning
Project Delivery	Director of Project Delivery and Toll Operations
Special Projects and Strategic Initiatives	Director of Special Projects and Strategic Initiatives
Support Services	Clerk of the Board
Transit	Director of Transit and Rail Programs

## Appendix B: Reconstitution Manager by Department

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The Deputy Executive Director is the Agency’s main Reconstitution Manager. In the event that a Reconstitution team is assembled, the table below is designed to provide an overall view of the official within each department who will serve as the Reconstitution Manager during a COOP Event. The team will work with applicable authorities to ensure an orderly return to normal operations either at the original facility or at a new facility if the original facility is untenable.

**Table 8: Reconstitution Manager by Department**

Department	Reconstitution Manager
Air Quality and Mobility Programs	Chief of Air Quality and Mobility Program
Council of Governments	Deputy Executive Director
Executive Office	Deputy Executive Director
Finance	Chief Financial Officer
Fund Administration	Director of Fund Administration
General Counsel	General Counsel
Legislative and Public Affairs	Director of Legislative and Public Affairs
Management Services	Chief of Management Services
Planning	Director of Planning
Project Delivery	Director of Project Delivery and Toll Operations
Special Projects and Strategic Initiatives	Director of Special Projects and Strategic Initiatives
Support Services	Clerk of the Board/Administrative Services Supervisor
Transit	Director of Transit and Rail Programs

## Appendix C: Mission Essential Functions by Department

This table is designed to provide an overall view of SBCTA Mission Essential Functions, addressed in all departmental COOP plans, which must be continued following a disruptive incident.

Table 9: Mission Essential Functions by Department

Department	Mission Essential Functions
Air Quality and Mobility Programs	<ul style="list-style-type: none"> <li>• Call box management</li> <li>• Freeway service patrol</li> </ul>
Council of Governments	<ul style="list-style-type: none"> <li>• Grant writing research and training</li> <li>• Support City/County Managers Technical Advisory Committee</li> </ul>
Executive Office	<ul style="list-style-type: none"> <li>• Identify priorities for SBCTA and provide leadership</li> <li>• Liaison with Board of Directors, federal, state, and local governments, and organizations at the executive level</li> </ul>
Finance	<p><b>Finance</b></p> <ul style="list-style-type: none"> <li>• Accounts and retention payable</li> <li>• Activation of contracts, contract amendments, purchase orders, and change orders</li> <li>• Billing</li> <li>• Budget adoption and posting to the financial accounting system</li> <li>• Cash management</li> <li>• Cash receipts</li> <li>• Maintain chart of accounts</li> <li>• MSI calculation and distribution of funds</li> <li>• Payroll submittal due to the County of San Bernardino</li> <li>• Quarterly investment report</li> <li>• Set up and update vendor codes</li> <li>• Void checks and process stop payments</li> <li>•</li> </ul>

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Department	Mission Essential Functions
Fund Administration	<ul style="list-style-type: none"> <li>• Allocate and disburse Transportation Development Act funds</li> <li>• Apportion and allocate state and federal funds to transit operators</li> <li>• Budget and plan annual appropriations, allocations, and disbursements based on estimated revenues</li> <li>• Develop and implement biennial update to the Measure "I" 10-year Delivery Plan, including bonding strategies</li> <li>• Develop and submit biennial State Transportation Improvement Programs (STIP) as required by California Transportation Commission (CTC)</li> <li>• Ensure all funds are allocated without risk of loss</li> <li>• Identify and submit candidate projects for Federal Transportation Improvement Programs (FTIP)</li> </ul>
General Counsel	<ul style="list-style-type: none"> <li>• Provide legal advice to the Board of Directors and staff</li> <li>• Oversee litigation and attend closed sessions</li> </ul>
Legislative and Public Affairs	<ul style="list-style-type: none"> <li>• Communicate with Board of Directors/senior management</li> <li>• Communicate with state and federal authorities</li> <li>• Website management</li> </ul>
Management Services	<p><b>Emergency Services</b></p> <ul style="list-style-type: none"> <li>• Daily security of the Santa Fe Depot Facility</li> <li>• Monitor daily operations and respond accordingly</li> </ul> <p><b>Facilities Management</b></p> <ul style="list-style-type: none"> <li>• Maintain Santa Fe Depot facility</li> </ul> <p><b>Human Resources (HR)</b></p> <ul style="list-style-type: none"> <li>• Administer workers compensation benefits</li> <li>• Administer HR policies and procedures</li> <li>• Report employee injuries to OSHA</li> </ul> <p><b>Information Technology (IT)</b></p> <ul style="list-style-type: none"> <li>• Execute Computer Network Disaster Recovery Plan</li> <li>• Monitor and maintain network</li> <li>• Operate the "Help Desk"</li> </ul>
Planning	<ul style="list-style-type: none"> <li>• Geographic Information Systems (GIS) and modeling</li> <li>• Projects and grants management</li> </ul>
Project Delivery	<ul style="list-style-type: none"> <li>• Manage capital projects</li> <li>• Project controls</li> <li>• Toll operations – systems design</li> </ul>

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Department	Mission Essential Functions
Special Projects and Strategic Initiatives	<p><b>Procurement</b> Procurement of goods and services</p> <p><b>Risk Management</b></p> <ul style="list-style-type: none"> <li>• Certificate of insurance review</li> <li>• Claims management</li> <li>• Contract insurance requirement review</li> <li>• Develop, maintain, communicate, and train on Continuity of Operations Plans</li> <li>• Procure insurance policies</li> </ul> <p><b>Special Projects</b></p> <ul style="list-style-type: none"> <li>• Perform special studies or projects – Implementation of an Enterprise Resource Planning system</li> </ul>
Support Services	<ul style="list-style-type: none"> <li>• Board and committee meetings</li> <li>• Mail and delivery services</li> <li>• Public records requests</li> <li>• Schedule travel and lodging</li> </ul>
Transit	<p><b>Capital Projects</b></p> <ul style="list-style-type: none"> <li>• Manage capital projects</li> </ul> <p><b>Operations</b></p> <ul style="list-style-type: none"> <li>• Communication, coordination, and funding allocation to rail operator (Southern California Regional Rail Authority - SCRRRA)</li> <li>• Communication, coordination, technical support, and funding allocation to bus operators</li> </ul> <p><b>Project Controls</b></p> <ul style="list-style-type: none"> <li>• Project controls</li> </ul> <p><b>Right-of-way Services</b></p> <ul style="list-style-type: none"> <li>• Manage railroad right-of-way</li> <li>• Right-of-way grants of use</li> </ul> <p><b>Transit Programs</b></p> <ul style="list-style-type: none"> <li>• Manage Private Transportation Provider Pilot program</li> <li>• Manage Rideshare programs</li> <li>• Manage Vanpool program</li> </ul>

## Appendix D: Mission Essential Functions by Department and by RTO

This table is designed to provide an overall view of prioritized Mission Essential Functions by department and by Recovery Time Objective.

Table 10: Prioritized Mission Essential Functions

Department	Mission Essential Function	RTO
Air Quality and Mobility Programs	Freeway service patrol	8 hours
	Call box management	24 hours
Council of Governments	Grant writing research and training	1 week if a grant has been identified
	Support City/County Managers Technical Advisory Committee	1 week or less if agenda needs to be posted
Executive Office	<ul style="list-style-type: none"> <li>• Identify priorities for SBCTA and provide leadership</li> <li>• Liaison with Board of Directors, federal, state, and local governments, and organizations at the executive level</li> </ul>	1 hour
Finance	Payroll submittal due to the County of San Bernardino	8 hours
	<ul style="list-style-type: none"> <li>• Activation of contracts, contract amendments, purchase orders, and change orders</li> <li>• Maintain chart of accounts</li> </ul>	24 hours
	Cash management	72 hours
	Accounts and retention payable	1 week, must meet prompt payment requirements for construction contracts
	Quarterly investment report	1 week, report due 30 days after the end of the quarter per government code 53646
	<ul style="list-style-type: none"> <li>• Cash receipts</li> <li>• Set up and update vendor codes</li> <li>• Void checks and process stop payments</li> </ul>	1 week

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Department	Mission Essential Function	RTO
Finance, continued	MSI calculation and distribution of funds	2 weeks
	Billing	30 days or less depending on reversion dates
	Budget adoption and posting to the financial accounting system	30 days
Fund Administration	<ul style="list-style-type: none"> <li>Allocate and disburse Transportation Development Act (TDA) and State of Good Repair (SGR) funds</li> <li>Apportion and Allocate state and federal funds to transit operators</li> <li>Budget and plan annual appropriations, allocations, and disbursements based on estimated revenues</li> <li>Ensure all funds are allocated without risk of loss</li> <li>Identify and submit candidate projects for Federal Transportation Improvement Programs (FTIP)</li> <li>Review and approve Measure "I" invoices</li> </ul>	2 weeks
	Develop and submit biennial State Transportation Improvement Programs (STIP) as required by California Transportation Commission (CTC)	2 weeks – Due in December of every even year
	Develop and implement biennial update to the Measure "I" 10-year Delivery Plan, including bonding strategies	30 days – biennial depending on bonding schedule
	Process funding, expenditure and term loan agreements	30 days
General Counsel	Provide legal advice to the Board of Directors and staff	24 hours
	Oversee litigation and attend closed sessions	24 hours depending on the stage of the litigation
Legislative and Public Affairs	Communicate with Board of Directors/senior management	1 hour
	Communicate with state and federal authorities	72 hours
	Website management	1 week
Management Services	<ul style="list-style-type: none"> <li>Daily security of the Santa Fe Depot facility</li> <li>Monitor daily operations and respond accordingly</li> <li>Maintain Santa Fe Depot facility</li> <li>Administer workers compensation benefits</li> <li>Administer HR policies and procedures</li> <li>Report employee injuries to OSHA</li> <li>Execute Computer Network Disaster Recovery Plan</li> </ul>	24 hours
	<ul style="list-style-type: none"> <li>Monitor and maintain network</li> <li>Operate the "Help Desk"</li> </ul>	48 hours

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Department	Mission Essential Function	RTO
Planning	Projects and grants management	24 hours depending on grant deadlines
	Geographic Information Systems (GIS) and modeling	1 week
Project Delivery	Manage capital projects	24 hours
	<ul style="list-style-type: none"> <li>• Project controls</li> <li>• Tolling operations – systems design</li> </ul>	1 week
Special Projects and Strategic Initiatives	Certificate of insurance review	72 hours to ensure new critical services start timely
	Contract insurance requirement review	72 hours to ensure procurement of new critical services continue
	Procurement of goods and services	72 hours
	Claims management	1 week to ensure statute of limitations period starts
	Develop, maintain, communicate, and train on Continuity of Operations Plans	1 week to be able to assist with after action interviews
	Procure insurance policies	1 week during spring time due to the duration of acquiring insurance
	Perform special studies or projects – Implementation of an Enterprise Resource Planning system	1 week - depending on project and Board priority
Support Services	Board and committee meetings	<ul style="list-style-type: none"> <li>• 24 hours (for emergency meeting agenda posting)</li> <li>• 72 hours (for standard/regularly scheduled meetings)</li> </ul>
	<ul style="list-style-type: none"> <li>• Mail and delivery services</li> <li>• Public records requests</li> <li>• Schedule travel and lodging</li> </ul>	1 week
Transit	<ul style="list-style-type: none"> <li>• Manage capital projects</li> <li>• Manage railroad right-of-way</li> <li>• Right-of-way grants of use</li> </ul>	24 hours
	<ul style="list-style-type: none"> <li>• Communication, coordination, and funding allocation to rail operator (Southern California Regional Rail Authority - SCRRA)</li> <li>• Manage Private Transportation Provider Pilot program</li> <li>• Project controls</li> </ul>	1 week
	<ul style="list-style-type: none"> <li>• Communication, coordination, technical support, and funding allocation to bus operators</li> <li>• Manage Rideshare programs</li> <li>• Manage Vanpool program</li> </ul>	2 weeks



## Appendix E: Mission Essential Functions by RTO

This table is designed to provide an overall view of prioritized Mission Essential Functions by Recovery Time Objective.

Table 11: Prioritized Mission Essential Functions

Tier 1 (0-12 hours, < 24 hours)		
Department	Mission Essential Function	RTO
Executive Office	Identify priorities for SBCTA and provide leadership	1 hour
	Liaison with Board of Directors, federal, state, and local governments, and organizations at the executive level	
Legislative and Public Affairs	Communicate with Board of Directors/senior management	1 hour
Air Quality and Mobility Programs	Freeway service patrol	8 hours
Finance	Payroll submittal due to the County of San Bernardino	8 hours

Tier 2 (24 – 72 hours)		
Department	Mission Essential Function	RTO
Air Quality and Mobility Programs	Call box management	24 hours
Finance	<ul style="list-style-type: none"> <li>• Activation of contracts, contract amendments, purchase orders, and change orders</li> <li>• Maintain chart of accounts</li> </ul>	24 hours
General Counsel	Provide legal advice to the Board of Directors and staff	24 hours
	Oversee litigation and attend closed sessions	24 hours depending on the stage of the litigation
Management Services	<ul style="list-style-type: none"> <li>• Daily security of the Santa Fe Depot facility</li> <li>• Monitor daily operations and respond accordingly</li> <li>• Maintain Santa Fe Depot facility</li> <li>• Administer workers compensation benefits</li> <li>• Administer HR policies and procedures</li> <li>• Report employee injuries to OSHA</li> <li>• Execute Computer Network Disaster Recovery Plan</li> </ul>	24 hours

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Tier 2 (24 – 72 hours)		
Department	Mission Essential Function	RTO
Planning	Projects and grants management	24 hours depending on grant deadlines
Project Delivery	Manage capital projects	24 hours
Support Services	Board and committee meetings	24 hours (for emergency meeting agenda posting)
Transit	<ul style="list-style-type: none"> <li>• Manage capital projects</li> <li>• Manage railroad right-of-way</li> <li>• Right-of-way grants of use</li> </ul>	24 hours
Management Services	<ul style="list-style-type: none"> <li>• Monitor and maintain network</li> <li>• Operate the “Help Desk”</li> </ul>	48 hours
Legislative and Public Affairs	Communicate with state and federal authorities	72 hours
Special Projects and Strategic Initiatives	Certificate of insurance review	72 hours to ensure new critical services start timely
	Contract insurance requirement review	72 hours to ensure procurement of new critical services continue
	Procurement of goods and services	72 hours
Support Services	Board and committee meetings	72 hours (for standard/regularly scheduled meetings)

Tier 3 (>72 hours - 1 week)		
Department	Mission Essential Function	RTO
Council of Governments	Grant writing research and training	1 week if a grant has been identified
	Support City/County Managers Technical Advisory Committee	1 week or less if agenda needs to be posted
Finance	Accounts and retention payable	1 week, must meet prompt payment requirements for construction contracts
Finance	Quarterly investment report	1 week, report due 30 days after the end of the quarter per government code 53646

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Tier 3 (>72 hours - 1 week)		
Department	Mission Essential Function	RTO
Finance	<ul style="list-style-type: none"> <li>• Cash receipts</li> <li>• Set up and update vendor codes</li> <li>• Void checks and process stop payments</li> </ul>	1 week
Legislative and Public Affairs	Website management	1 week
Planning	Geographic Information Systems (GIS) and modeling	1 week
Project Delivery	<ul style="list-style-type: none"> <li>• Project controls</li> <li>• Tolling operations – systems design</li> </ul>	1 week
Special Projects and Strategic Initiatives	Claims management	1 week to ensure statute of limitations period starts
	Develop, maintain, communicate, and train on Continuity of Operations Plans	1 week to be able to assist with after action interviews
	Procure insurance policies	1 week during spring time due to the duration of acquiring insurance
	Perform special studies or projects – Implementation of an Enterprise Resource Planning system	1 week - depending on project and Board priority
Support Services	<ul style="list-style-type: none"> <li>• Mail and delivery services</li> <li>• Public records requests</li> <li>• Schedule travel and lodging</li> </ul>	1 week
Transit	<ul style="list-style-type: none"> <li>• Communication, coordination, and funding allocation to rail operator (Southern California Regional Rail Authority - SCRRA)</li> <li>• Manage Private Transportation Provider Pilot program</li> <li>• Project controls</li> </ul>	1 week

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Tier 4 (> 1 week – 30 days)		
Department	Mission Essential Function	RTO
Finance	MSI calculation and distribution of funds	2 weeks
Fund Administration	<ul style="list-style-type: none"> <li>• Allocate and disburse Transportation Development Act (TDA) and State of Good Repair (SGR) funds</li> <li>• Apportion and Allocate state and federal funds to transit operators</li> <li>• Budget and plan annual appropriations, allocations, and disbursements based on estimated revenues</li> <li>• Ensure all funds are allocated without risk of loss</li> <li>• Identify and submit candidate projects for Federal Transportation Improvement Programs (FTIP)</li> <li>• Review and approve Measure "I" invoices</li> </ul>	2 weeks
	Develop and submit biennial State Transportation Improvement Programs (STIP) as required by California Transportation Commission (CTC)	2 weeks – Due in December of every even year
Transit	<ul style="list-style-type: none"> <li>• Communication, coordination, technical support, and funding allocation to bus operators</li> <li>• Manage Rideshare programs</li> <li>• Manage Vanpool program</li> </ul>	2 weeks
Finance	Billing	30 days or less depending on reversion dates
	Budget adoption and posting to the financial accounting system	30 days
Fund Administration	Develop and implement biennial update to the Measure "I" 10-year Delivery Plan, including bonding strategies	30 days – biennial depending on bonding schedule
	Process funding, expenditure and term loan agreements	30 days

## Appendix F: Devolution by Department

This table identifies each of SBCTA’s departments and to whom their Mission Essential Functions will be devolved during a Devolution scenario.

Table 12: Devolution by Department

Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
Air Quality and Mobility Programs	<ul style="list-style-type: none"> <li>Call box management</li> <li>Freeway service patrol</li> </ul>	Bernard Arroyo, consultant	Yes	None	None
Council of Governments	<ul style="list-style-type: none"> <li>Grant writing research and training</li> <li>Support City/County Managers Technical Advisory Committee</li> </ul>	Planning	Director of Planning	None	None
Executive Office	Identify priorities for SBCTA and provide leadership to staff	To be determined by Board of Directors	N/A	N/A	N/A
	Liaison with Board of Directors, federal, state, and local governments, and organizations at the executive level	Office of Legislative and Public Affairs	Director of Legislative and Public Affairs	N/A	N/A

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Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
Finance	<ul style="list-style-type: none"> <li>• Accounts and retention payable</li> <li>• Budget adoption and posting to the financial accounting system</li> <li>• Cash management</li> <li>• Cash receipts</li> <li>• Maintain chart of accounts</li> <li>• Set up and update vendor codes</li> <li>• Void checks and process stop payments</li> <li>•</li> </ul>	Special Projects and Strategic Initiatives	Director of Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>• Bank account authorization</li> <li>• Bank account online access</li> <li>• Check stock</li> <li>• Check printer</li> <li>• Check scanner</li> <li>• EFT file</li> <li>• Financial accounting system finance access rights</li> <li>• Investment Pool account authorization</li> <li>• Scanner</li> <li>• Signature file</li> <li>• Positive pay file</li> </ul>	Check stock from bank – authority to order checks.
	<ul style="list-style-type: none"> <li>• Activation of contracts, contract amendments, purchase orders, and change orders</li> <li>• Billing</li> <li>• MSI calculation and distribution of funds</li> <li>• Payroll submittal due to the County of San Bernardino</li> <li>• Procurement of goods and services</li> </ul>	Not known	N/A	N/A	N/A

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Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
Fund Administration	<ul style="list-style-type: none"> <li>Allocate and disburse Transportation Development Act (TDA) and State of Good Repair (SGR) funds</li> <li>Apportion and Allocate state and federal funds to transit operators</li> </ul>	Transit	Transit Manager		
	<ul style="list-style-type: none"> <li>Budget and plan annual appropriations, allocations, and disbursements based on estimated revenues</li> <li>Develop and implement biennial update to the Measure "I" 10-year Delivery Plan, including bonding strategies</li> <li>Process funding, expenditure and term loan agreements</li> <li>Review and approve Measure "I" invoices</li> </ul>	Special Projects and Strategic Initiatives	Director of Special Projects and Strategic Initiatives		
	<ul style="list-style-type: none"> <li>Develop and submit biennial State Transportation Improvement Programs (STIP) as required by California Transportation Commission (CTC)</li> <li>Ensure all funds are allocated without risk of loss</li> <li>Identify and submit candidate projects for Federal Transportation Improvement Programs (FTIP)</li> </ul>	Project Delivery	Toll Operations Administrator		

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Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
General Counsel	<ul style="list-style-type: none"> <li>Provide legal advice to the Board of Directors and staff</li> <li>Oversee litigation and attend closed sessions</li> </ul>	On call attorney to be secured	N/A	Access to Essential Records	N/A
Legislative and Public Affairs	<ul style="list-style-type: none"> <li>Communicate with Board of Directors/senior management/media</li> <li>Communicate with state and federal authorities</li> </ul>	Executive Director	N/A	N/A	N/A
	Website management	Planeteria	N/A	N/A	N/A
Management Services	<ul style="list-style-type: none"> <li>Daily security of facility</li> <li>Monitor daily operations and respond accordingly</li> <li>Maintain facility</li> </ul>	<ul style="list-style-type: none"> <li>CityCom</li> <li>Special Projects and Strategic Initiatives</li> </ul>	<ul style="list-style-type: none"> <li>Director of Special Projects and Strategic Initiatives</li> <li>Risk Manager</li> </ul>	N/A	N/A
	<ul style="list-style-type: none"> <li>Administer worker's compensation</li> <li>Report employee injuries to OSHA</li> </ul>	Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>Director of Special Projects and Strategic Initiatives</li> <li>Risk Manager</li> </ul>	N/A	N/A
	Administer HR policies and procedures	Departmental supervisors	N/A	N/A	N/A
	<ul style="list-style-type: none"> <li>Execute Computer Network Disaster Recovery Plan</li> <li>Monitor and maintain network</li> <li>Operate the "Help Desk"</li> </ul>	City of Brea - IT	Yes	N/A	N/A



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Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
Planning	Geographic Information Systems (GIS) and modeling	<ul style="list-style-type: none"> <li>• Alta Planning Design</li> <li>• Cambridge Systematics Inc.</li> <li>• Dudek</li> <li>• Fehr &amp; Peers</li> <li>• HDR Engineering Inc.</li> <li>• Michael Baker International Inc.</li> </ul>	Yes	<ul style="list-style-type: none"> <li>• Data Copies</li> <li>Access to SBCTA GIS infrastructure and cloud back-up system</li> <li>Access to one of the following SBCTA Computers with ArcGIS and ArcMap Licensing:               <ul style="list-style-type: none"> <li>• W10-GIS1 (server required)</li> <li>• W10-CMARDER (local and server license)</li> <li>• W10-TRANSCAD2 (server required)</li> <li>• W10-GKOBASZ (server required)</li> <li>• W10-GISINT (server required)</li> </ul> </li> <li>ROW Administrator's laptop (local license installed)</li> <li>TransCAD Software               <ul style="list-style-type: none"> <li>• W10-TRANSCAD2</li> <li>TRANSCAD3</li> </ul> </li> </ul>	N/A
		City of Brea -IT (for complete GIS system takeover)	Jimmy Dao	SBCTA GIS system access	
	Projects and grants management	<ul style="list-style-type: none"> <li>• Blais and Associates, grant writer</li> <li>• Council of Governments</li> </ul>	Yes	N/A	

**San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan**

Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
Project Delivery	<ul style="list-style-type: none"> <li>Manage capital projects</li> <li>Project controls</li> </ul>	Parsons Transportation Group Inc.	<ul style="list-style-type: none"> <li>Dennis Saylor, PM</li> <li>Jose Corona, CM</li> <li>Georges Moussa</li> </ul>	N/A	N/A
	Tolling operations – systems design	HNTB Corporation	Will Allen	N/A	N/A
Special Projects and Strategic Initiatives	Procurement of goods and services	<ul style="list-style-type: none"> <li>Finance</li> </ul>	Chief Financial Officer	N/A	N/A
	Claim management	<ul style="list-style-type: none"> <li>Carl Warren &amp; Company</li> <li>George Hills</li> <li>Third Party Administrators</li> </ul>	Yes	N/A	N/A
	Certification of insurance review	Finance and Alliant Insurance Services (insurance broker)	Procurement Manager	N/A	N/A
	Contract insurance requirement review	Alliant Insurance Services, insurance broker	Yes	N/A	N/A
	Develop, maintain, communicate, and train on Continuity of Operations Plan	Management Services	Deputy Executive Director	N/A	N/A
	Procure insurance policies	Finance	Chief Financial Officer	N/A	N/A
	Perform special studies or projects – Implementation of an Enterprise Resource Planning system	Management Services	Chief of Management Services	N/A	N/A

San Bernardino County Transportation Authority  
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Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
Support Services	Board and committee meetings	Unknown	N/A	N/A	N/A
	Mail and delivery services	Management Services	Chief of Management Services	N/A	N/A
	Public records request	General Counsel	<ul style="list-style-type: none"> <li>General Counsel</li> <li>Assistant General Counsel</li> <li>Management Analyst III</li> </ul>	N/A	N/A
	Schedule travel and lodging	Individual staff members	N/A	N/A	N/A
Transit	Manage capital projects	<ul style="list-style-type: none"> <li>Mott MacDonald (DMU to ZEMU Vehicle Conversion)</li> <li>Mott MacDonald (Metro Gold Line Foothill Extension)</li> <li>Rail Pros (Redlands Passenger Rail Project)</li> <li>Project Delivery (Tunnel to Ontario Airport)</li> <li>WSP, Inc. (West Valley Connector Phase I)</li> </ul>	Yes	N/A	N/A
	Communication, coordination, and funding allocation to rail operator (Southern California Regional Rail Authority)	Executive Director	N/A	N/A	N/A

San Bernardino County Transportation Authority  
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Department	Mission Essential Function	To Whom Mission Essential Functions Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies
Transit, continued	Communication, coordination, technical support, and funding allocation to bus operators	Fund Administration	Management Analyst III	N/A	N/A
	Project controls	Mott McDonalds, staff augmentation consultant	Yes	N/A	N/A
	Manage railroad right-of-way	<ul style="list-style-type: none"> <li>Epic Land Solutions</li> <li>Joshua Grading &amp; Excavating Inc.</li> </ul>	Yes	Cisco VPN for San Bernardino County Recorder's Office system	Contact County of San Bernardino Information Systems Department
	Right-of-way grants of use	Epic Land Solutions	Darcy Mendoza Kim Bibolet	Access to Recorded Documents (Recorder VPN or alternative such as RealQuest, etc.) Access to agreements and maps (EPMA/ArcGIS)	TBD
	Manage Private Transportation Provider Pilot Program	Air Quality and Mobility Programs	Management Analyst III	N/A	N/A
	Manage Rideshare programs	Riverside County Transportation Commission Program Manager	Brian Cunanam	<a href="http://www.IECommuter.org">www.IECommuter.org</a> Tripspark / Trapeze Website/database system	Request TripSpark / Trapeze login credentials
	Manage Vanpool program	WSP, Inc. consultant	Elizabeth Woodward	<a href="http://www.ridetheloop.com">www.ridetheloop.com</a> Tripspark / Trapeze Website/database system	Request TripSpark / Trapeze login credentials

## Appendix G: Continuity of Operations Planning Leads

This table is designed to provide an overall view of the COOP Leads within each department who have been trained to respond to a COOP Activation.

Table 13: Continuity of Operations (COOP) Key Positions

<b>COOP Administrator</b>	
Executive Office	Executive Director
<b>Reconstitution Manager</b>	
Executive Office	Deputy Executive Director
<b>Business Continuity Manager</b>	
Special Projects and Strategic Initiatives	Risk Manager

### COOP Leads and Alternates

<b>Department</b>	<b>COOP Lead</b>	<b>COOP Alternate</b>
Air Quality and Mobility Programs	Chief of Air Quality and Mobility Programs	Management Analyst III
Council of Governments	COG Administrator	Management Analyst III
Finance	Chief of Fiscal Resources	Accounting Supervisor
Fund Administration	Management Analyst III	Management Analyst III
General Counsel	Management Analyst III	Assistant General Counsel
Legislative and Public Affairs	Chief of Legislative and Public Affairs	Management Analyst III
Management Services	Chief of Management Services	Management Analyst II
Planning	Chief of Planning	Senior Planner
Project Delivery	Project Controls Manager	Project Delivery Manager
Special Projects and Strategic Initiatives	Risk Manager	Procurement Manager
Support Services	Deputy Clerk of the Board	Assistant to the Clerk of the Board
Transit	Project Controls Manager	Transit Manager

## Appendix H: Equipment and Supplies by RTO

This table list Mission Essential Functions, prioritized by RTOs, and their associated equipment and supply needs.

Table 14: Equipment and Supplies Needed by RTO

Tier 1 (0-12 hours, < 24 hours)			
Department	Equipment and Supplies	Mission Essential Functions	RTO
All departments	<ul style="list-style-type: none"> <li>Computers</li> <li>Printer</li> <li>Telephone</li> </ul>	All functions	1 hour – 8 hours
Air Quality and Mobility Programs	<ul style="list-style-type: none"> <li>Computers</li> <li>Customer service cards</li> <li>GPS</li> <li>Magnetic signage</li> <li>Tablets</li> </ul>	Freeway service patrol	8 hours

Tier 2 (24 hours - 72 hours)			
Department	Equipment and Supplies	Mission Essential Functions	RTO
All departments	<ul style="list-style-type: none"> <li>Computers</li> <li>Printer</li> <li>Telephone</li> </ul>	All functions	24 hours – 72 hours
Transit	<ul style="list-style-type: none"> <li>Computers</li> <li>Hard hats</li> <li>Printer</li> <li>Telephone</li> <li>Vests</li> </ul>	<ul style="list-style-type: none"> <li>Manage capital projects</li> <li>Manage railroad right-of-way</li> </ul>	24 hours

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Tier 3 (>72 hours – 1 week)			
Department	Equipment and Supplies	Mission Essential Functions	RTO
All departments	<ul style="list-style-type: none"> <li>Computers</li> <li>Printer</li> <li>Telephone</li> </ul>	All functions	72 hours – 1 week
Finance	<ul style="list-style-type: none"> <li>Check printer</li> <li>Computer</li> <li>Printer</li> <li>Telephone</li> </ul>	Accounts and retention payable	1 week
Finance	<ul style="list-style-type: none"> <li>Check scanner</li> <li>Computer</li> <li>Printer</li> <li>Telephone</li> </ul>	Cash receipts	1 week
Planning	<ul style="list-style-type: none"> <li>High speed/RAM/disk space technical computer for modeling Computer</li> <li>Printer</li> <li>Telephone</li> </ul>	Geographic Information Systems (GIS) and modeling	1 week
Transit	<ul style="list-style-type: none"> <li>Computer</li> <li>Hard hats</li> <li>Telephone</li> <li>Vests</li> </ul>	Communication, coordination, and funding allocation to rail operator (Southern California Regional Rail Authority - SCRRA)	1 week

Tier 4 (>1 week – 30 days)			
Department	Equipment and Supplies	Mission Essential Functions	RTO
All departments	<ul style="list-style-type: none"> <li>Computers</li> <li>Printer</li> <li>Telephone</li> </ul>	All functions	1 week – 30 days
Finance	<ul style="list-style-type: none"> <li>Computers</li> <li>Printer</li> <li>Scanners</li> <li>Telephone</li> </ul>	Billing	30 days or less depending on reversion dates

## Appendix I: Mission Essential Records and Databases by RTO

This table list Mission Essential Functions, prioritized by RTOs, and their associated Essential Records and Databases.

**Table 15: Mission Essential Records and Databases Needed by RTO**

Tier 1 (0-12 hours, < 24 hours)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Executive Office	None	Identify priorities for SBCTA and provide leadership Liaison with Board of Directors, federal, state, and local governments, and organizations at the executive level	1 hour
Legislative and Public Affairs	Distribution lists for contact information	Communicate with Board of Directors/senior management	1 hour
Air Quality and Mobility Programs	<ul style="list-style-type: none"> <li>• Annual report</li> <li>• Driver data assistance records</li> </ul>	Freeway service patrol	8 hours
Finance	<ul style="list-style-type: none"> <li>• Cisco AnyConnect – VPN token</li> <li>• <a href="#">EMACS</a></li> <li>• <a href="#">Employee timesheet services website</a></li> <li>• Financial accounting system</li> <li>• Leave accruals by director</li> <li>• Leave balances – Macro</li> <li>• Time and labor interface report</li> </ul>	Payroll submittal due to the County of San Bernardino	8 hours

Tier 2 (24 hours - 72 hours)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Air Quality and Mobility Programs	Access to audio and remote message log records for all incoming call box calls	Call box management	24 hours
Finance	Executed contracts	Activation of contracts, contract amendments, purchase orders, and change orders	24 hours



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Tier 2 (24 hours - 72 hours)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Finance	<ul style="list-style-type: none"> <li>• <a href="#">Chart of accounts - balance sheet</a></li> <li>• <a href="#">Chart of accounts - expenditures</a></li> <li>• <a href="#">Chart of accounts - revenues</a></li> <li>• Financial accounting system</li> <li>• <a href="#">Major budgetary item request form 39</a></li> <li>• <a href="#">Subtask form 40</a></li> </ul>	Maintain chart of accounts	24 hours
General Counsel	<ul style="list-style-type: none"> <li>• Distribution lists for contact information</li> <li>• SANBAG Joint Powers Agreement</li> <li>• SANBAG Bylaws</li> <li>• SBCTA Administrative Code</li> <li>• Westlaw Edge</li> </ul>	Provide legal advice to the Board of Directors and staff	24 hours
General Counsel	<ul style="list-style-type: none"> <li>• Distribution lists for contact information</li> <li>• SANBAG Joint Powers Agreement</li> <li>• SANBAG Bylaws</li> <li>• SBCTA Administrative Code</li> <li>• Westlaw Edge</li> </ul>	Oversee litigation and attend closed sessions	24 hours depending on the stage of the litigation
Management Services	<ul style="list-style-type: none"> <li>• Procedure 10104 – Emergency Action Plan</li> <li>• Supporting Document - Board Panic Alarm Testing</li> <li>• Supporting Document – Security Panic Alarm Instructions</li> <li>• Supporting Document – Central Responsibilities SBCTA Operations</li> </ul>	Daily security of the Santa Fe Depot facility	24 hours
Management Services	<ul style="list-style-type: none"> <li>• Procedure 10104 – Emergency Action Plan</li> <li>• Supporting Document – Central Responsibilities SBCTA Operation</li> </ul>	Monitor Depot daily operations and respond accordingly	24 hours
Management Services	Procedure 10104 – Illness and Injury Prevention Program	Maintain Santa Fe Depot facility	24 hours
Management Services	Policy 10104 – Illness and Injury Prevention Program	Administer worker’s compensation benefits	24 hours
Management Services	Personnel policy folder	Administer HR policies and procedures	24 hours
Management Services	<ul style="list-style-type: none"> <li>• Instructions are per the State of California to report injuries via telephone</li> <li>• Instructions are per the State of California. Reports to report injuries via email</li> </ul>	Report employee injuries to OSHA	24 hours

## San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

Tier 2 (24 hours - 72 hours)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Management Services	<ul style="list-style-type: none"> <li>• Policy 15000 – Computer Network Disaster Recovery Plan</li> <li>• Procedure 15000 – Computer Network Disaster Recovery Plan – Test Procedure</li> <li>• Both Policy and Procedure 15000</li> </ul>	Execute Computer Network Disaster Recovery Plan	24 hours
Planning	<ul style="list-style-type: none"> <li>• Grant Application History folder</li> <li>• Maps folder</li> </ul>	Projects and grants management	24 hours depending on grant deadlines
Project Delivery	<ul style="list-style-type: none"> <li>• Executed contracts</li> <li>• Project correspondence</li> <li>• Project specifications</li> </ul>	Manage capital projects	24 hours
Support Services	<ul style="list-style-type: none"> <li>• Board agenda system – Minute Traq</li> <li>• Distribution lists – for contact information</li> </ul>	Board and committee meetings	24 hours (for emergency meeting agenda posting)
Transit	<ul style="list-style-type: none"> <li>• Executed contracts</li> <li>• Google Earth</li> <li>• Project files – DMU to ZEMU</li> <li>• Project files – Metro Gold Line Foothill Extension</li> <li>• Project files – Redlands Passenger Rail Project (RPRP)</li> <li>• Project files – Tunnel to Ontario Airport (ONT)</li> <li>• Project files – West Valley Connector (WVC)</li> </ul>	Manage capital projects	24 hours
Transit	<ul style="list-style-type: none"> <li>• <a href="#">Policy 10400 – Surplus Real Property</a></li> <li>• <a href="#">Policy 31602</a> – SBCTA Rail Property</li> <li>• <a href="#">Policy 34509</a> – Project Development and Program Management Signatory and Approval Authority</li> <li>• Property Information Management System (PIMS)</li> <li>• Right-of-way title documents</li> <li>• SBC Recorder's system</li> <li>• <a href="#">SBCTA Right-of-way procedures manual</a></li> </ul>	Manage railroad right-of-way	24 hours

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Enterprise Continuity of Operations Base Plan**

Tier 2 (24 hours - 72 hours)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Transit	<ul style="list-style-type: none"> <li>• <a href="#">Grants of use templates</a></li> <li>• List of lease-license tracking sheet</li> <li>• PIMS</li> <li>• <a href="#">Policy 31602</a> – SBCTA Rail Property</li> <li>• <a href="#">Policy 34509</a> – Project Development and Program Management Signatory and Approval Authority</li> <li>• Right-of-way title documents</li> <li>• SBC Recorder's system</li> <li>• <a href="#">SBCTA Right-of-way procedures manual</a></li> </ul>	Right-of-way grants of use	24 hours
Management Services	<ul style="list-style-type: none"> <li>• Supporting Document – Computer Network Backup Procedure</li> <li>• Backup schedule procedures</li> </ul>	Monitor and maintain network	48 hours
Management Services	SharePoint Portal Resources – folder with several instructions and user guides	Operate the "Help Desk"	48 hours
Finance	<ul style="list-style-type: none"> <li>• <a href="#">Cash balance report</a></li> <li>• <a href="#">CAMP online website</a></li> <li>• <a href="#">LAIF online website</a></li> <li>• <a href="#">San Bernardino County wire transfer memo</a></li> </ul>	Cash management	72 hours
Legislative and Public Affairs	<ul style="list-style-type: none"> <li>• Dropbox</li> <li>• Federal Platform</li> <li>• State Platform</li> </ul>	Communicate with state and federal authorities	72 hours
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>• Vendor certificates of insurance and endorsements</li> </ul>	Certificate of insurance review	72 hours to ensure new critical services start timely
Special Projects and Strategic Initiatives	Draft contracts and procurement documents	Contract insurance requirement review	72 hours to ensure procurement of new critical services continue
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>• Conflict of Interest form</li> <li>• <a href="#">Contract number request form</a></li> <li>• <a href="#">Executed contracts</a></li> <li>• Financial accounting system</li> <li>• IFB/RFP templates</li> <li>• <a href="#">PlanetBids</a></li> <li>• <a href="#">Procurement request form</a></li> </ul>	Procurement of goods and services	72 hours
Support Services	<ul style="list-style-type: none"> <li>• Board agenda system – Minute Traq</li> <li>• Distribution lists – for contact information</li> </ul>	Board and committee meetings	72 hours (for standard/regularly scheduled meetings)

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Tier 3 (>72 hours - 1 week)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Council of Governments	<ul style="list-style-type: none"> <li>• Distribution lists – contact information</li> <li>• Grants list</li> <li>• Website</li> </ul>	Grant writing research and training	1 week if a grant has been identified
Council of Governments	<ul style="list-style-type: none"> <li>• Agenda template</li> <li>• Website</li> </ul>	Support City/County Managers Technical Advisory Committee	1 week or less if agenda needs to be posted
Finance	<ul style="list-style-type: none"> <li>• <a href="mailto:AP@gosbcta.com">AP@gosbcta.com</a> email</li> <li>• <a href="#">Cash balance report</a></li> <li>• <a href="#">Escrow letter</a></li> <li>• <a href="#">Escrow reconciliation</a></li> <li>• Financial accounting system</li> <li>• <a href="#">Laserfiche, Laserfiche forms and workflows</a></li> <li>• <a href="#">Wells Fargo online banking</a></li> </ul>	Accounts and retention payable	1 week, must meet prompt payment requirements for construction contracts
Finance	<ul style="list-style-type: none"> <li>• <a href="#">Cash balance report</a></li> <li>• <a href="#">Check log</a></li> <li>• Check scanner software</li> <li>• Financial accounting system</li> <li>• <a href="#">Wells Fargo online banking</a></li> </ul>	Cash receipts	1 week
Finance	<ul style="list-style-type: none"> <li>• <a href="#">Bonds roll forward report</a></li> <li>• Bond trustee monthly statements</li> <li>• CAMP monthly statement</li> <li>• <a href="#">Cash balance report</a></li> <li>• <a href="#">County cash balance</a></li> <li>• Investment summary memo</li> <li>• LAIF monthly statement</li> <li>• <a href="#">Summary of portfolio Holdings</a></li> </ul>	Quarterly investment report	1 week, report due 30 days after the end of the quarter per government code 53646
Finance	<ul style="list-style-type: none"> <li>• Executed contract/PO</li> <li>• Financial accounting system</li> <li>• <a href="#">Vendor form</a></li> </ul>	Set up and update vendor codes	1 week
Finance	<ul style="list-style-type: none"> <li>• Copy of original request for payment and journal entry</li> <li>• Financial accounting system</li> <li>• <a href="#">Wells Fargo online banking</a></li> </ul>	Void checks and process stop payments	1 week
Legislative and Public Affairs	Website	Website management	1 week

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Tier 3 (>72 hours - 1 week)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Planning	<ul style="list-style-type: none"> <li>ESRI Platform</li> <li>ArcGIS</li> <li>SBCTA-GIS</li> <li>SBTAM Folder</li> <li>Transcad</li> </ul>	Geographic Information Systems (GIS) and modeling	1 week
Project Delivery	<ul style="list-style-type: none"> <li>Budget information</li> <li>Executed contracts</li> <li>Invoices/Laserfiche</li> <li>Financial accounting system</li> <li>Project controls system - EcoSys</li> </ul>	Project controls	1 week
Project Delivery	<ul style="list-style-type: none"> <li>Financial records</li> <li>Payment records</li> <li>Trip records</li> </ul>	Tolling operations – systems design	1 week
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>Claims form</li> <li>Claims rejection letter</li> </ul>	Claims management	1 week to ensure statute of limitations period starts
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>Business continuity management program policy #10180</li> <li>Continuity of Operations plan</li> </ul>	Develop, maintain, communicate, and train on Continuity of Operations Plans	1 week to be able to assist with after action interviews
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>Adobe Acrobat DC</li> <li>Board agenda system - Minute Traq</li> <li>Financial accounting system</li> </ul>	Perform special studies or projects – Implementation of an Enterprise Resource Planning system	1 week - depending on project and Board priority
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>Board item and Board agenda system - Minute Traq</li> <li>Capital assets spreadsheet</li> <li>Loss run report</li> </ul>	Procure insurance policies	1 week during spring time due to the duration of acquiring insurance policies
Support Services	<ul style="list-style-type: none"> <li>Mail received</li> <li>Front desk check log</li> </ul>	Mail and delivery services	1 week
Support Services	<ul style="list-style-type: none"> <li>Dropbox</li> <li>Public records request form</li> <li>Various documents depending on request</li> </ul>	Public records requests	1 week
Support Services	Out of state travel form	Schedule travel and lodging	1 week

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Tier 3 (>72 hours - 1 week)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Transit	<ul style="list-style-type: none"> <li>• Joint Powers Agreement for SCRRRA</li> <li>• MACC letter of appointment</li> <li>• <a href="#">MACC portal</a></li> <li>• SCRRRA bylaws</li> <li>• SCRRRA Member Agency Committee Charter (MACC)</li> <li>• SCRRRA subsidy funding tracking sheet</li> </ul>	Communication, coordination, and funding allocation to rail operator (Southern California Regional Rail Authority - SCRRRA)	1 week
Transit	<ul style="list-style-type: none"> <li>• Lyft Dropbox</li> <li>• Standardized Operating Procedures</li> </ul>	Manage Private Transportation Provider Pilot program	1 week
Transit	<ul style="list-style-type: none"> <li>• <a href="#">Administrative ROW Payment Procedures</a></li> <li>• <a href="#">Contract Change Order Procedures</a></li> <li>• <a href="#">Contract Contingency Release Procedures</a></li> <li>• <a href="#">Executed contracts</a></li> <li>• Financial accounting system</li> <li>• <a href="#">Flatiron West Construction Fund Distribution Worksheet</a></li> <li>• <a href="#">Flatiron West Bid List Support for City of Redlands Reimbursement Billings</a></li> <li>• <a href="#">Flatiron West FTA Support for Reimbursement Billings</a></li> <li>• <a href="#">Invoice Payment Procedures</a></li> <li>• <a href="#">Invoice Review Checklist</a></li> <li>• Project Controls System - <a href="#">EcoSys</a></li> <li>• <a href="#">RPRP Right-of-Way Acquisition List (for invoicing)</a></li> <li>• <a href="#">RPRP Utility Relocation Matrix (for invoicing)</a></li> <li>• <a href="#">Summary Sheet to Omnitrans for FTA reimbursement Billing</a></li> <li>• <a href="#">TrAMS</a></li> <li>• <a href="#">Transit Vendor Contact List</a></li> </ul>	Project controls	1 week

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Tier 4 (>1 week – 30 days)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Finance	<ul style="list-style-type: none"> <li>Financial accounting system – Eden Script</li> <li><a href="#">Annual population statistics</a></li> </ul>	MSI calculation and distribution of funds	2 weeks
Fund Administration	<ul style="list-style-type: none"> <li>TDA related workbooks</li> <li>SGR related workbooks</li> </ul>	Allocate and disburse Transportation Development Act (TDA) and State of Good Repair (SGR) funds	2 weeks
Fund Administration	SBCTA Portal Excel workbooks	Apportion and Allocate state and federal funds to transit operators	2 weeks
Fund Administration	<ul style="list-style-type: none"> <li>CIP Database</li> <li>CPNA Database</li> <li>Measure “I” Revenue Forecast Distribution to Subareas workbook</li> <li>Measure “I” Arterial Program workbook</li> </ul>	Budget and plan annual appropriations, allocations, and disbursements based on estimated revenues	2 weeks
Fund Administration	CalSmart	Develop and submit biennial State Transportation Improvement Programs (STIP) as required by California Transportation Commission (CTC)	2 weeks – Due in December of every even year
Fund Administration	State and Federal Funding related workbooks and worksheets	Ensure all funds are allocated without risk of loss	2 weeks
Fund Administration	SCAG FTIP Database (web-based) – Procedural guide is maintained by SCAG	Identify and submit candidate projects for Federal Transportation Improvement Programs (FTIP)	2 weeks
Fund Administration	<ul style="list-style-type: none"> <li>Measure “I” portal sites</li> <li>Mountain/Desert Planning &amp; Programming site</li> </ul>	Review and approve Measure “I” invoices	2 weeks
Transit	<ul style="list-style-type: none"> <li>TransTrack</li> <li>FTA website</li> <li>BlackCat – Caltrans grants system</li> <li>TDA workbooks</li> </ul>	Communication, coordination, technical support, and funding allocation to bus operators	2 weeks
Transit	<ul style="list-style-type: none"> <li>Rideshare database</li> <li>Non-disclosure agreement</li> </ul>	Manage Rideshare programs	2 weeks
Transit	<ul style="list-style-type: none"> <li>Trams</li> <li><a href="#">Vanpool annual reports</a></li> <li>Vanpool CEO delegation</li> <li>Vanpool database SB Loop Vanpool Website &amp; Database/Reporting System</li> <li><a href="#">Vanpool email</a></li> <li>Vanpool letter of appointment</li> <li><a href="#">Vanpool monthly reports</a></li> </ul>	Manage Vanpool program	2 weeks

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Tier 4 (>1 week – 30 days)			
Department	Mission Essential Records and Databases	Mission Essential Functions	RTO
Finance	<ul style="list-style-type: none"> <li>• Financial accounting system</li> <li>• <a href="#">Grants tracking sheets</a></li> <li>• <a href="#">Procedures and forms</a></li> <li>• <a href="#">Billing contacts</a></li> </ul>	Billing	30 days or less depending on reversion dates
Finance	<ul style="list-style-type: none"> <li>• Final budget document</li> <li>• Financial accounting system</li> </ul>	Budget adoption and posting to the financial accounting system	30 days
Fund Administration	<ul style="list-style-type: none"> <li>• 10-Year Delivery Plan</li> <li>• Bond Model Workbook</li> <li>• EcoSys</li> </ul>	Develop and implement biennial update to the Measure “1” 10-year Delivery Plan, including bonding strategies	30 days – biennial depending on bonding schedule
Fund Administration	<ul style="list-style-type: none"> <li>• Measure “1” portal sites</li> <li>• Mountain/Desert Planning &amp; Programming site</li> </ul>	Process funding, expenditure and term loan agreements	30 days
Other systems that are common for most functions	<ul style="list-style-type: none"> <li>• Board agenda system – Minute Traq</li> <li>• Imaging system - Laserfiche</li> <li>• Worksites – Microsoft SharePoint/SBCTA Portal</li> </ul>		



## Appendix J: Dependencies by Department

This table shows by department Dependencies and their associated departments for each mission essential function.

Table 16: Dependencies by Department

Tier 1 (0-12 hours, < 24 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Executive Office	Implementation of priorities	All departments	Identify priorities for SBCTA and provide leadership	1 hour
	Legal advice	General Counsel		
	Policy direction	Board of Directors		
Executive Office	<ul style="list-style-type: none"> <li>Communication support</li> <li>Lobbyist services</li> </ul>	Legislative and Public Affairs	Liaison with Board of Directors, federal, state, and local governments, and organizations at the executive level	1 hour
	Program status updates	All departments		
	<ul style="list-style-type: none"> <li>Mail and delivery services</li> <li>Schedule meeting and perform travel arrangements</li> </ul>	Support Services		
Legislative and Public Affairs	Newsletter	Constant Contact	Communicate with Board of Directors/senior management	1 hour
	Provide information about legislation affecting SBCTA, SBCOG and stakeholders	<ul style="list-style-type: none"> <li>California Advisors, Inc.</li> <li>Potomac Partners DC. LLC</li> </ul>		
	Provide information regarding funding statuses and expectations	Fund Administration		
	Provide information regarding statuses of expected projects	Planning		

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Tier 1 (0-12 hours, < 24 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Legislative and Public Affairs, continued	Serve as a resource for information regarding impact(s) of disruptive incident	<ul style="list-style-type: none"> <li>• All departments</li> <li>• California Highway Patrol</li> <li>• California Department of Transportation (Caltrans)</li> <li>• Contractors in field</li> <li>• Transit providers</li> </ul>		
Air Quality and Mobility Programs	Accounts payable	Finance	Freeway service patrol	8 hours
	Annual report	Bernard Arroyo		
	FSP driver assistance data server	Amazon		
	CHP Field Officer Supervision services	California Highway Patrol		
	GPS data service	AT&T		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>		
	Mail and delivery services	Support Services		
	Mobile relay station equipment (Ultra High Frequency)	Mobile Relay Associates LLC		
	Towing services	<ul style="list-style-type: none"> <li>• Airport Mobil Towing</li> <li>• Pepe's Tow</li> <li>• Pomona Valley Towing</li> <li>• Royal Coaches Towing</li> <li>• Steve's Towing</li> </ul>		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Finance	Employee time/labor information	All departments	Payroll submittal due to the County of San Bernardino	8 hours
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services – IT</li> <li>Tyler Technologies</li> </ul>		
	Imaging system - Laserfiche	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services - IT</li> </ul>		
	Payroll processing services	<ul style="list-style-type: none"> <li>County of San Bernardino Human Resources</li> <li>County of San Bernardino Auditor-Controller/Treasurer/Tax Collector</li> </ul>		
	VPN Cisco token	County of San Bernardino Information Services Department		
	Web based timesheet system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services – IT</li> <li>Tyler Technologies</li> </ul>		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Air Quality and Mobility Programs	Accounts payable	Finance	Call box management	24 hours
	Call box answering center	AAMCOM		
	Call box maintenance services	CASE Systems Inc.		
	Cellular services	Verizon Wireless		
	Coordination regarding level and type of assistance needed for each Motorist's requests	California Highway Patrol Dispatch Centers located in San Bernardino County		
	External communications	Office of Legislative and Public Affairs		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>		
Finance	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>	Activation of contracts, contract amendments, purchase orders, and change orders	24 hours
	Imaging system - Laserfiche, Laserfiche forms and workflow	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• ECS Imaging Inc.</li> <li>• Management Services - IT</li> </ul>		
	Invoices and approved request for payments documents	All departments		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Finance	Executed contracts/revenue agreements	<ul style="list-style-type: none"> <li>Procurement</li> <li>All departments</li> </ul>	Maintain chart of accounts	24 hours
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services – IT</li> <li>Tyler Technologies Inc.</li> </ul>		
	Requests for new accounting strings	All departments		
General Counsel	Accounts payable	Finance	Provide legal advice to the Board of Directors and staff	24 hours
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services - IT</li> </ul>		
	Mail and delivery services	Support Services		
	Program/project information	All departments		
	Third party administrator	<ul style="list-style-type: none"> <li>Carl Warren &amp; Company</li> <li>George Hills Inc.</li> <li>Risk Management</li> </ul>		
	Westlaw Edge Online - legal research	Thomson Reuters(West Publishing)		
General Counsel	Accounts payable	Finance	Oversee litigation and attend closed sessions	24 hours depending on the stage of the litigation
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services - IT</li> </ul>		
	Legal services	<ul style="list-style-type: none"> <li>Kaplan, Kirsch &amp; Rockwell</li> <li>Nossaman LLP</li> <li>Thompson &amp; Colegate</li> <li>Woodruff, Spradlin, &amp; Smart</li> <li>Gibbs Giden</li> </ul>		
	Westlaw Edge Online - legal research	Thomson Reuters (West Publishing)		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Management Services	Create, maintain, and manage third party contracts for property operations – security, HVAC, custodial services, etc.	CityCom Real Estate Services	Daily security of the Santa Fe Depot facility	24 hours
Management Services	Create, maintain, and manage third party contracts for property operations – security, HVAC, custodial services, etc.	CityCom Real Estate Services	Monitor Depot daily operations and respond accordingly	24 hours
Management Services	Create, maintain, and manage third party contracts for property operations – security, HVAC, custodial services, etc.	CityCom Real Estate Services	Maintain Santa Fe Depot facility	24 hours
Management Services	Provides non-emergency medical care for injuries and illnesses incurred as a result of the working environment	Fox Occupational Medical Center	Administer worker's compensation benefits	24 hours
	Emergency services and/or urgent care when Fox Occupational Medical Center is unavailable	Nearest hospital providing emergency services		
Management Services	Review and implement policies	Department level supervisors	Administer HR policies and procedures	24 hours
Management Services	Timely report any employee injuries	Department level supervisors	Report employee injuries to OSHA	24 hours
Management Services	<ul style="list-style-type: none"> <li>• Verify the integrity of failed over systems; verify reliability of Disaster Recovery (DR) server</li> <li>• Contact ECS Imaging, Inc. to relicense the DR Laserfiche servers and to make them accessible</li> <li>• Grant designated SBCTA staff access to the remote Disaster Recovery network via preconfigured laptops</li> </ul>	City of Brea IT	Execute Computer Network Disaster Recovery Plan	24 hours
	Licensing services for Imaging system - Laserfiche	ECS Imaging, Inc.		
	<ul style="list-style-type: none"> <li>• Houses and maintains the cloud Backup services for SBCTA</li> <li>• Manually start the Disaster Recovery servers</li> </ul>	City of Brea IT (Unitrends)		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Planning	Board item processing and approval- Minute Traq (approvals for grants)	<ul style="list-style-type: none"> <li>• Board</li> <li>• Executive Office</li> <li>• Finance</li> <li>• Fund Administration</li> <li>• General Counsel</li> <li>• Support Services</li> </ul>	Projects and grants management	24 hours depending on grant deadlines
	Grant writing services	Blais and Associates		
	On-call planning services	<ul style="list-style-type: none"> <li>• Alta Planning Design</li> <li>• Cambridge Systematics Inc.</li> <li>• Dudek</li> <li>• Fehr &amp; Peers</li> <li>• HDR Engineering Inc.</li> <li>• Michael Baker International Inc.</li> </ul>		
	Provides source of funding to start and or continue projects	<ul style="list-style-type: none"> <li>• Fund Administration</li> <li>• Project Delivery</li> <li>• Transit</li> </ul>		
	Distribution lists for contact information	Support Services		
Project Delivery	Contract Administration	California Department of Transportation (Caltrans) or Participating City or County	Manage capital projects	24 hours
	Incident Management	California Highway Patrol		
	Board item processing and approval- (environmental and right of way acquisition)	<ul style="list-style-type: none"> <li>• Board</li> <li>• Executive Office</li> <li>• Finance</li> <li>• Fund Administration</li> <li>• General Counsel</li> <li>• Support Services</li> </ul>		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Project Delivery, continued	<ul style="list-style-type: none"> <li>Claim management</li> <li>Incident management</li> </ul>	Risk Management	Manage capital projects	24 hours
	Communication to general public; consistent messaging to all stakeholders	Legislative and Public Affairs		
	<ul style="list-style-type: none"> <li>Construction manager</li> <li>Project management</li> </ul>	Parsons Transportation Group, Inc.		
	Project scheduling system – P6	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Oracle</li> <li>Management Services - IT</li> </ul>		
	Project controls system - EcoSys	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Intergraph</li> <li>Management Services - IT</li> </ul>		
	<ul style="list-style-type: none"> <li>Right of Way Acquisition</li> <li>Utility Relocation</li> </ul>	<ul style="list-style-type: none"> <li>Rosenthal</li> <li>Epic Land Solutions</li> <li>Overland, Pacific &amp; Cutler, LLC (OPC)</li> <li>Woodruff, Spradlin &amp; Smart (WSS)</li> </ul>	Manage capital projects	24 hours



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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Support Services	Accounts payable	Finance	Board and committee meetings	24 hours (for emergency meeting agenda posting)
	Agenda preparation, routing, and approvals	All departments		
	Board agenda system – Minute Traq	Granicus		
	Contract and other document signatures	<ul style="list-style-type: none"> <li>Board President or Executive Director</li> <li>General Counsel</li> <li>Procurement Manager</li> </ul>		
	Closed session briefings	<ul style="list-style-type: none"> <li>All departments</li> <li>General Counsel</li> </ul>		
	Copier leases for printing of agendas	Xerox		
	Law enforcement services	County of San Bernardino Sheriff Department		
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services - IT</li> </ul>		
	Posting of Agenda	<ul style="list-style-type: none"> <li>Legislative and Public Affairs</li> <li>Planeteria</li> </ul>		
	Provide an electronic forum and meeting place	Zoom		
	Record video of meetings	City of San Bernardino		
	Web postings	Planeteria		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Transit	Board agenda system – Minute Traq	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services - IT</li> <li>Support Services</li> </ul>	Manage capital projects	24 hours
	Board item processing and approval (environmental and right-of-way acquisition)	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Finance</li> <li>Fund Administration</li> <li>General Counsel</li> <li>Support Services</li> </ul>		
	<ul style="list-style-type: none"> <li>Claim management</li> <li>Incident management</li> </ul>	Risk Management		
	Communication to general public; consistent messaging to all stakeholders	Legislative and Public Affairs		
	Construction management services	<ul style="list-style-type: none"> <li>AECOM</li> <li>LAN</li> </ul>		
	Design services	Parsons		
	Federal rail and bus project funding oversight	Federal Transit Administration		
Transit, continued	Omnitrans project management oversight	Omnitrans	Manage capital projects	24 hours
	Project management support services	<ul style="list-style-type: none"> <li>Mott McDonald</li> <li>RailPros</li> <li>WSP</li> </ul>		
	Project controls system (EcoSys)	<ul style="list-style-type: none"> <li>Project Delivery</li> <li>Management Services - IT</li> </ul>		
	SCRRA project management oversight	SCRRA		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Transit	Legal services	General Counsel	Manage railroad right-of-way	24 hours
	Maintenance services outside the operating envelope	Joshua Grading & Excavating Inc.		
	Maintenance services within the operating envelope	SCRRA		
	<ul style="list-style-type: none"> <li>Recording services</li> <li>Title research</li> </ul>	County of San Bernardino Assessor/Recorder's Office		
	Property Information Management System (PIMS)	County of San Bernardino Assessor/Recorder's Office		
	VPN Cisco access for SBC Recorder's system	County of San Bernardino Information Services Department		
Transit	Accounts payable	Finance	Right-of-way grants of use	24 hours
	Billing services	<ul style="list-style-type: none"> <li>Epic Land Solutions Inc.</li> <li>Finance</li> </ul>		
	Board agenda system – Minute Traq	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Support Services</li> <li>Management Services - IT</li> </ul>		
	Board item processing and approval (REDA process for grants of use application))	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Finance</li> <li>Fund Administration</li> <li>General Counsel</li> <li>Support Services</li> </ul>		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Transit, continued	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>	Right-of-way grants of use	24 hours
	Insurance review	Risk Management		
	Legal services	General Counsel		
	Property management system - EPMA system	Epic Land Solutions		
	<ul style="list-style-type: none"> <li>• Recording services</li> <li>• Title search</li> </ul>	SBC Assessor/Recorder's Office		
	Right-of-way plan review	WSP USA Inc.		
	VPN Cisco token and access to County of San Bernardino Recorder's system	County of San Bernardino Information Technology Services		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Management Services	Provides Hardware/Infrastructure maintenance and troubleshooting services	<ul style="list-style-type: none"> <li>• <b>Agiline</b> (Microsoft SharePoint)</li> <li>• <b>Adobe</b> (Adobe Acrobat DC)</li> <li>• <b>Caltrans</b> (Forms Plus)</li> <li>• <b>City of Brea IT</b> (Windows; Microsoft Exchange; Microsoft Office; Sophos Antivirus; SpamTitan; Microsoft Project; Kaseya; Unitrends; VMware)</li> <li>• <b>Dropbox</b> (Dropbox)</li> <li>• <b>ECS Imaging, Inc.</b> (Laserfiche)</li> <li>• <b>Epic Land Solutions, INC.</b> (EPMA)</li> <li>• <b>ESRI</b> (ArcGIS)</li> <li>• <b>Frontier</b> (Depot Phone Service &amp; Internet)</li> <li>• <b>Granicus</b> (Minute Traq)</li> <li>• <b>GoTo</b> (GoTo Meetings)</li> <li>• <b>Intergraph Corp.</b> (EcoSYS EPC)</li> <li>• <b>KTS Networks</b> (Mitel Connect)</li> <li>• <b>NEOGOV</b> (NEOGOV)</li> <li>• <b>Oracle</b> (Oracle Primavera P6)</li> <li>• <b>San Bernardino County ISD Office</b> (Kaseya)</li> <li>• <b>Tyler Technologies</b> (Eden; Audacity)</li> <li>• <b>Verizon</b> (Select iPads and hotspots)</li> <li>• <b>Zoho</b> (Cliq)</li> <li>• <b>Zoom</b> (Zoom)</li> </ul>	Monitor and maintain network	48 hours

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Management Services	Assist and troubleshoots information technology issues/problems	City of Brea IT	Operate the "Help Desk"	48 hours
Finance	Banking services	Wells Fargo Bank N.A.	Cash Management	72 hours
	Investment pool services	<ul style="list-style-type: none"> <li>• California Asset Management Program (CAMP)</li> <li>• Local Agency Investment Fund (LAIF)</li> <li>• County of San Bernardino Auditor-Controller Treasurer/Tax Collector</li> </ul>		
Legislative and Public Affairs	Accounts payable	Finance	Communicate with state and federal authorities	72 hours
	Board agenda system – Minute Traq	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Support Services</li> <li>• Management Services - IT</li> </ul>		
	Board item processing and approval of state and federal platforms and opposition or support for new legislation	<ul style="list-style-type: none"> <li>• Board</li> <li>• Executive Office</li> <li>• Finance</li> <li>• Fund Administration</li> <li>• General Counsel</li> <li>• Support Services</li> </ul>		
	Federal advocates	Potomac Partners DC LLC.		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>		
	Manage incident reporting and dissemination of it to agency staff, stakeholders and media	Costin Public Outreach		
	State advocates	California Advisors, Inc.		

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Special Projects and Strategic Initiatives	Board agenda system – Minute Traq	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Support Services</li> <li>Management Services - IT</li> </ul>	Procurement of goods and services	72 hours
	Board item processing and approval- Minute Traq (approvals for contract)	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Finance</li> </ul>		
	<ul style="list-style-type: none"> <li>Certificate of insurance review</li> <li>Contract insurance requirement review</li> </ul>	Risk Management		
	Create new contract number in Financial accounting	Finance		
	<ul style="list-style-type: none"> <li>Executed contracts</li> <li>Mail and delivery services</li> </ul>	Support Services		
	Issue purchase orders	Finance		
	Imaging system - Laserfiche, Laserfiche Forms and workflows	ECS Imaging Inc.		
	Legal review	General Counsel		
	Online procurement services	PlanetBids		
	Set up vendor code	Finance		
Approval for building repairs for the Santa Fe Depot	State Historic Preservation Officer			
Special Projects and Strategic Initiatives	Insurance certificates and endorsements	All contracted vendors	Certificate of insurance review	72 hours to ensure new critical services start timely

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Tier 2 (24 hours - 72 hours)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Special Projects and Strategic Initiatives	Board agenda system - Minute Traq	Support Services	Contract insurance requirement review	72 hours to ensure procurement of new critical services continue
	Recommend contract insurance requirements	Alliant Insurance Services as needed		
Support Services	Accounts payable	Finance	Board and Committee Meetings	72 hours (for standard/regularly scheduled meetings)
	Agenda preparation, routing, and approvals	All departments		
	Board agenda system – Minute Traq	Granicus		
	Contract and other document signatures	<ul style="list-style-type: none"> <li>• Board President or Executive Director</li> <li>• General Counsel</li> <li>• Procurement Manager</li> </ul>		
	Closed session briefings	<ul style="list-style-type: none"> <li>• All departments</li> <li>• General Counsel</li> </ul>		
	Copier leases for printing of agendas	Xerox		
	Law enforcement services	County of San Bernardino Sheriff Department	Board and Committee Meetings	72 hours (for standard/regularly scheduled meetings)
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>		
	Posting of Agenda	<ul style="list-style-type: none"> <li>• Legislative and Public Affairs</li> <li>• Planeteria</li> </ul>		
	Provide an electronic forum and meeting place	Zoom		
	Record video of meetings	City of San Bernardino		
	Web postings	Planeteria		



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Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Council of Governments	Accounts payable	Finance	Grant writing research and training	1 week if a grant has been identified
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>		
	Grants research and training	Blais and Associates		
	Provide electronic forum and meeting place	Support Services		
Council of Governments	Identify items to include in meeting agenda	<ul style="list-style-type: none"> <li>• All departments</li> <li>• All city/county participants</li> </ul>	Support City/County Managers Technical Advisory Committee	1 week or less if agenda needs to be posted
	<ul style="list-style-type: none"> <li>• Create agenda</li> <li>• Post agenda of monthly committee meetings on the website and within lobby 72 hours in advance of meeting</li> <li>• Distribution lists contact information of committee members</li> <li>• Take minutes</li> </ul>	Support Services		
Finance	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services – IT</li> <li>• Tyler Technologies Inc.</li> </ul>	Accounts and retention payable	1 week, must meet prompt payment requirements for construction contracts
	Imaging system - Laserfiche, Laserfiche forms and workflow	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services – IT</li> <li>• ECS Imaging Inc.</li> </ul>		
	Invoices and approved request for payments documents	All departments		

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Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Finance	<ul style="list-style-type: none"> <li>• Banking services</li> <li>• Check scanner</li> </ul>	Wells Fargo Bank N.A.	Cash receipts	1 week
	Imaging system - Laserfiche	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services - IT</li> </ul>		
	<ul style="list-style-type: none"> <li>• Mail and delivery services</li> <li>• Maintain check log and temporary custody of checks</li> </ul>	Support Services		
Finance	Banking services	Wells Fargo Bank N.A.	Quarterly investment report	1 week, report due 30 days after the end of the quarter per government code 53646
	Investment pool services	<ul style="list-style-type: none"> <li>• CAMP</li> <li>• LAIF</li> <li>• County of San Bernardino Auditor-Controller/Treasurer/Tax Collector</li> </ul>		
	Investment portfolio management services	PFM Asset Management LLC		
Finance	Filled out vendor form, W-9, bank letter or voided check	All vendors	Set up and update vendor codes	1 week
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services – IT</li> <li>• Tyler Technologies Inc.</li> </ul>		
	Laserfiche, Laserfiche forms and workflows	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• ECS Imaging Inc.</li> <li>• Management Services –IT</li> </ul>		
	W-9 verification	Internal Revenue Services (IRS)		

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Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Finance	Banking services	Wells Fargo Bank N.A.	Void checks and process stop payments	1 week
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services – IT</li> <li>Tyler Technologies Inc.</li> </ul>		
	Imaging system - Laserfiche	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services - IT</li> </ul>		
	Request for void (including Backup documentation)	All departments		
Legislative and Public Affairs	Accounts Payable	Finance	Website management	1 week
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services - IT</li> </ul>		
	Provide the most up to date information and resources to be posted, linked to, or provided for all users	All departments		
	Website consulting services	Planeteria		
	Website hosting services	Blue Host		
Planning	<ul style="list-style-type: none"> <li>Accounts Payable</li> <li>Accounts Receivable/billing</li> </ul>	Finance	Geographic Information Systems (GIS) and modeling	1 week
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services - IT</li> </ul>		
	GIS maintenance agreement	Environmental Systems Research Institute (ESRI)		
	Modeling license	Cambridge Systematics, Inc.		
	Street network subscription, aerial photography, and parcel information	County of San Bernardino Information Services Department		
	TransCAD software	Caliper		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Project Delivery	<ul style="list-style-type: none"> <li>• Accounts and retention payable</li> <li>• Billing services</li> <li>• Reclassifications</li> <li>• Process contract amendments/change orders/contingency releases</li> </ul>	Finance	Project controls	1 week
	Board agenda system – Minute Traq	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Support Services</li> <li>• Management Services - IT</li> </ul>		
	Board item processing and approval of state and federal platforms and opposition or support for new legislation	<ul style="list-style-type: none"> <li>• Board</li> <li>• Executive Office</li> <li>• Finance</li> <li>• Fund Administration</li> <li>• General Counsel</li> <li>• Support Services</li> </ul>		
	Federal advocates	Potomac Partners DC LLC.		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services – IT</li> </ul>		
	Mail and delivery services	Support Services		
	Minute Traq – Board agenda system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Support Services</li> <li>• Management Services - IT</li> </ul>		
	Staff augmentation services	Parsons Transportation Group, Inc.		
	Project management system	<ul style="list-style-type: none"> <li>• City of Brea IT</li> <li>• Intergraph Corporation</li> <li>• Management Services - IT</li> </ul>		
	Provide funding updates and statuses	Fund Administration		

**San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan**

Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Project Delivery	Design of toll operations system	TransCore, Roper Technologies Company	Tolling operations – systems design	1 week
	Customer Service, Billing, Coordination and integration of SBCTA's toll operations system with Transportation Corridor Agency (TCA) toll revenue collection system	Transportation Corridor Agency (TCA)		
	Project management services (I-10 Express Lanes)	HNTB Corporation		
	Transportation Infrastructure Finance and Innovation Act (TIFIA) loan management	Finance		
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>• Accounts payable</li> <li>• Authorize payment to claimant</li> <li>• Manage bank account for claims</li> </ul>	Finance	Claims management	1 week to ensure statute of limitations period starts
	<ul style="list-style-type: none"> <li>• Annual five year statistical report</li> <li>• Claim administration including legal strategies and investigations</li> <li>• Make payments pursuant to claim</li> <li>• Monthly loss run reports</li> </ul>	<ul style="list-style-type: none"> <li>• Carl Warren &amp; Company</li> <li>• George Hills</li> </ul>		
	Authorize settlement amount	<ul style="list-style-type: none"> <li>• Executive Office</li> <li>• Board</li> </ul>		
	<ul style="list-style-type: none"> <li>• Claim must be submitted to the Clerk of the Board per Government Code</li> <li>• Mail and delivery services</li> </ul>	Support Services		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services – IT</li> </ul>		
Special Projects and Strategic Initiatives	<ul style="list-style-type: none"> <li>• Coordination and development of Testing Exercises</li> <li>• New or updated business processes and Business Impact Analysis</li> </ul>	All departments	Develop, maintain, communicate, and train on Continuity of Operations Plans	1 week to be able to assist with after action interviews

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Special Projects and Strategic Initiatives	Accounts payable	Finance	Procure insurance policies	1 week during spring time due to the duration of acquiring insurance policies
	Agenda processing and approval of recommended insurance policies	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Fund Administration</li> <li>General Counsel</li> <li>Granicus</li> <li>Finance</li> <li>Support Services</li> </ul>		
	<ul style="list-style-type: none"> <li>Agency annual salary</li> <li>Agency operating budget amount</li> <li>List and value of owned property</li> </ul>	Finance		
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services – IT</li> </ul>		
	List of vehicles and driving information	Management Services - HR		
	New programs or upcoming completed SBCTA assets that may require additional or new insurance policies	All departments		
	Recommend and procure insurance coverages through various underwriters	Alliant Insurance Services		
Special Projects and Strategic Initiatives	Accounts payable	Finance	Perform special studies or projects – Implementation of an Enterprise Resource Planning system	1 week - depending on project and Board priority
	Agenda processing and approval of recommended insurance policies	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Fund Administration</li> <li>General Counsel</li> <li>Granicus</li> <li>Finance</li> <li>Support Services</li> </ul>		

**San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan**

Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Special Projects and Strategic Initiatives, continued	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services – IT</li> </ul>	Perform special studies or projects – Implementation of an Enterprise Resource Planning system	1 week - depending on project and Board priority
	Identification of business requirements	All departments		
Support Services	Delivery of mail and parcels	<ul style="list-style-type: none"> <li>County of San Bernardino Purchasing Department</li> <li>Federal Express (FedEx)</li> <li>United Parcel Service (UPS)</li> <li>United States Postal Service (USPS)</li> </ul>	Mail and delivery services	1 week
	Postage machine at Santa Fe Depot	Quadient		
Support Services	Locating and assembly of documents/records	<ul style="list-style-type: none"> <li>All departments</li> <li>Iron Mountain</li> <li>Laserfiche – ECS Imaging Inc.</li> </ul>	Public records requests	1 week
	Electronic provision of documents	Dropbox		
Support Services	Travel information	Employee or Board member	Schedule travel and lodging	1 week
Transit	BlackCat grants system for Caltrans 511 grant applications	Caltrans	Communication, coordination, and funding allocation to rail operator (Southern California Regional Rail Authority - SCRRRA)	1 week
	Board agenda system – Minute Traq	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services - IT</li> <li>Support Services</li> </ul>		
	Board item processing and approval	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Finance</li> <li>Fund Administration</li> <li>General Counsel</li> <li>Support Services</li> </ul>		
	<ul style="list-style-type: none"> <li>Claim processing</li> <li>Funding allocation and grant management services</li> </ul>	Fund Administration		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 3 (>72 hours – 1 week)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Transit	Accounts Payable	Finance	Manage Private Transportation Provider Pilot program	1 week
	Dropbox – file transfers	Lyft LLC		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services – IT</li> </ul>		
	Call answering services	AAMCO Inc.		
	Transportation services	Lyft LLC (ADA services must be operational or other services can no longer be continued – ButterFLi is the current ADA subcontractor)		

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Finance	Auditing services - Annual audit reports of local jurisdictions MSI program	Eide & Bailey LLP	MSI calculation and distribution of funds	2 weeks
	Board approved population statistics	Fund Administration		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services – IT</li> <li>• Tyler Technologies Inc.</li> </ul>		
	Eden MSI allocation script	Tyler Technologies Inc.		
	Sales tax statistics and projections	Hinderliter, De Llamas & Association (HDL)		
	Trustee services	U.S. Bank		



San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Fund Administration	<ul style="list-style-type: none"> <li>• Accounts payable</li> <li>• Approval of revenue projections</li> </ul>	Finance	Allocate and disburse Transportation Development Act (TDA) and State of Good Repair (SGR) funds	2 weeks
	Annual Population estimates	<ul style="list-style-type: none"> <li>• San Bernardino County Planning Department</li> <li>• State Department of Finance</li> </ul>		
	Apportionment/allocations, invoices/claims for Article 3 funding	Planning		
	Apportionment/allocations, invoices/claims for Article 8 funding	Local jurisdictions		
	Apportionment/allocations, invoices/claims for transit operators and SBTCA	Transit		
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>		
	Processing payments	San Bernardino County Auditor Controller/Treasurer-Tax-Collector		
	Revenue projections from historical data, current sales tax projections	<ul style="list-style-type: none"> <li>• San Bernardino County Auditor Controller/Treasurer-Tax-Collector</li> <li>• California State Controller's Office</li> </ul>		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Fund Administration	Apportionment estimates	State Controller's Office	Apportion and Allocate state and federal funds to transit operators	2 weeks
	Federal funding agreements	<ul style="list-style-type: none"> <li>Federal Transit Administration</li> <li>Omnitrans</li> <li>Transit</li> </ul>		
	State funding agreements	<ul style="list-style-type: none"> <li>Caltrans</li> <li>CalSTA</li> <li>Transit</li> </ul>		
	Verifying availability and fiscal year balances of funds	<ul style="list-style-type: none"> <li>Federal Transit Administration</li> <li>SCAG</li> <li>Omnitrans</li> <li>SCRRA</li> </ul>		

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Fund Administration	<ul style="list-style-type: none"> <li>Adopted Local Jurisdictions Measure "I" Local Pass-thru CIP</li> <li>Adopted Local Jurisdictions Measure "I" Valley Major Street Arterial and Mountain/Desert CPNA</li> <li>CIP/CPNA Database project submittal from local jurisdictions</li> </ul>	Local jurisdictions	Budget and plan annual appropriations, allocations, and disbursements based on estimated revenues	2 weeks
	Measure "I" Revenue projections	Finance		
	State Controller's Office population estimates	State Department of Finance		
	County Planning population distribution analysis	County of San Bernardino Planning Department		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Fund Administration	Access to ePPR module of CalSmart, Section 17	Caltrans	Develop and submit biennial State Transportation Improvement Programs (STIP) as required by California Transportation Commission (CTC)	2 weeks – Due in December of every even year
	<ul style="list-style-type: none"> <li>• Adopted CTC STIP fund estimate and guidelines</li> <li>• Emails from CTC</li> <li>• STIP Hearing Briefing Book</li> </ul>	CTC, Guided by legislation with <u>no</u> flexibility to delay the filing date.		
	Detailed Project Programming Summary Table excel worksheet	<ul style="list-style-type: none"> <li>• Transit</li> <li>• Project Delivery</li> </ul>		
Fund Administration	<ul style="list-style-type: none"> <li>• Cooperative Work Agreements (CWA)</li> <li>• Earmark Repurposing</li> <li>• Federal Inactive Projects report</li> <li>• Funding Source Guidelines</li> <li>• OA Reports and STP/CMAQ AB1012 “use it or lose it” Reports</li> <li>• State and federal funding agreements</li> </ul>	Caltrans	Ensure all funds are allocated without risk of loss	2 weeks
	<ul style="list-style-type: none"> <li>• E76/Program Supplements</li> <li>• Final Close Out Packages funding/expenditures reconciliation</li> </ul>	<ul style="list-style-type: none"> <li>• Caltrans</li> <li>• Finance</li> <li>• Project Delivery</li> <li>• Transit</li> </ul>		
	<ul style="list-style-type: none"> <li>• Funding Source Guidelines from CTC</li> <li>• Programming/Allocation/Extension Requests</li> <li>• Timely Use of Funds tracking</li> </ul>	<ul style="list-style-type: none"> <li>• Caltrans</li> <li>• CTC</li> <li>• Local jurisdictions</li> <li>• Transit operators</li> <li>• Project Delivery</li> <li>• Transit</li> </ul>		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Fund Administration, continued	Programming projects in the FTIP	<ul style="list-style-type: none"> <li>Caltrans</li> <li>Local jurisdictions</li> <li>Transit operators</li> <li>Project Delivery</li> <li>Transit</li> <li>SCAG</li> </ul>	Ensure all funds are allocated without risk of loss	2 weeks
Fund Administration	<ul style="list-style-type: none"> <li>Notification of FTIP modification opportunities</li> <li>FTIP project markup sheets from agency representatives</li> <li>Phone and email inquiries from agency representatives</li> </ul>	<ul style="list-style-type: none"> <li>Local jurisdictions</li> <li>Transit operators</li> <li>Caltrans</li> <li>Transit</li> <li>Project Delivery</li> <li>SCAG</li> </ul>	Identify and submit candidate projects for Federal Transportation Improvement Programs (FTIP)	2 weeks
	SCAG FTIP Database	SCAG		
Fund Administration	Accounts payable	Finance	Review and approve Measure "1" invoices	2 weeks
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services - IT</li> </ul>		
	Local jurisdictions' invoice/claims including support documentation submittals	<ul style="list-style-type: none"> <li>Local Jurisdictions</li> <li>Finance</li> </ul>		
Transit	Accounts payable	Finance	Manage Rideshare programs	2 weeks
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Finance</li> <li>Management Services - IT</li> </ul>		
	Program administration	Riverside County Transportation Commission (RCTC)		
	Software implementation	Trapeze Software Group Inc. /TripSpark.		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Transit	Accounts payable	Finance	Manage Vanpool program	2 weeks
	Financial accounting system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Finance</li> <li>• Management Services - IT</li> </ul>		
	Marketing services	Creative Productions		
	Program administration	WSP USA Inc.		
	Software implementation	Trapeze Software Group Inc.		
	Vanpool fleet services	<ul style="list-style-type: none"> <li>• Airport Van Rental</li> <li>• Enterprise Rideshare</li> </ul>		
Finance	Executed revenue agreements	<ul style="list-style-type: none"> <li>• All departments</li> <li>• Support Services</li> </ul>	Billing	30 days or less depending on reversion dates
	Financial accounting system	<ul style="list-style-type: none"> <li>• Management Services – IT</li> <li>• Tyler Technologies Inc.</li> </ul>		
	Imaging system - Laserfiche	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services - IT</li> </ul>		
	Mail and delivery services	Support Services		
	Program manager review	All departments		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Finance	Advertising services for public hearing	Daily Journal Corporation.	Budget adoption and posting to the financial accounting system	30 days
	Board agenda system – Minute Traq	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services – IT</li> <li>Support Services</li> </ul>		
	Board item processing and approval- Minute Traq (public hearing for budget adoption)	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Finance</li> <li>Fund Administration</li> <li>General Counsel</li> <li>Support Services</li> </ul>		
	Financial accounting system	<ul style="list-style-type: none"> <li>City of Brea</li> <li>Management Services – IT</li> <li>Tyler technologies Inc.</li> </ul>		
	Population data for Gann limit calculation	State Department of Finance		
Fund Administration	Access to major projects schedules and funding summary tables	<ul style="list-style-type: none"> <li>Project Delivery</li> <li>Transit</li> <li>Local jurisdictions</li> </ul>	Develop and implement biennial update to the Measure "1" 10-year Delivery Plan, including bonding strategies	30 days – biennial depending on bonding schedule
	Board item processing	<ul style="list-style-type: none"> <li>Board</li> <li>Executive Office</li> <li>Finance</li> <li>Fund Administration</li> <li>General Counsel</li> <li>Support Services</li> </ul>		
	Coordination on bonding needs	<ul style="list-style-type: none"> <li>Finance</li> <li>PFM Asset Management LLC.</li> </ul>		

San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan

Tier 4 (>1 week – 30 days)				
Department	Dependencies	Department Responsible for Dependencies	Mission Essential Function	RTO
Fund Administration, continued	Formatting and printing of 10-Year Delivery Plan Report (MS Word document)	Legislative and Public Affairs	Develop and implement biennial update to the Measure "I" 10-year Delivery Plan, including bonding strategies	30 days – biennial depending on bonding schedule
	Measure "I" revenue projections thru 2040	<ul style="list-style-type: none"> <li>• Finance</li> <li>• Hinderliter De Llamas &amp; Association</li> </ul>		
Fund Administration	Board item processing and approval of agreements with Cities, County, and Transit Operators	<ul style="list-style-type: none"> <li>• Board</li> <li>• Executive Office</li> <li>• Finance</li> <li>• Fund Administration</li> <li>• General Counsel</li> <li>• Local Jurisdictions</li> <li>• Support Services</li> <li>• Transit Operators</li> </ul>	Process funding, expenditure and term loan agreements	30 days
	Minute Traq – Board agenda processing system	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services – IT</li> <li>• Support Services</li> </ul>		
	Negotiate agreements	<ul style="list-style-type: none"> <li>• General Counsel</li> <li>• Local Jurisdictions</li> <li>• Transit Operators</li> </ul>		
Dependencies that apply to almost every function	<ul style="list-style-type: none"> <li>• Adobe Acrobat DC</li> <li>• Email</li> <li>• Internet</li> <li>• Laserfiche</li> <li>• Microsoft Office Suite</li> <li>• Microsoft SharePoint/SBCTA Portal</li> <li>• Network</li> <li>• Telephone services</li> </ul>	<ul style="list-style-type: none"> <li>• City of Brea</li> <li>• Management Services – IT</li>   <li>• ECS Imaging, Inc. for Laserfiche only</li> </ul>		

## Appendix K: Continuity of Operations Plan Activation Job Aid

During a disruption to SBCTA operations, department leadership and COOP Planning Leads or Alternates will guide Key Personnel and staff while they activate the COOP. The COOP Activation job aid is designed to facilitate a smooth transition through Activation and relocation, continuity operations, and Reconstitution. While Reconstitution tasks are listed after continuity operations tasks in the job aid, it is generally understood that continuity operations and Reconstitution tasks will be performed concurrently.

**Table 17: COOP Planning Leads/Alternates Job Aid**

Item	Task	Task Assigned To	Date/Time Completed
<b>Activation and Relocation</b>			
1	Contact emergency responders (fire, police, emergency medical services) if necessary.		
2	Conduct evacuation of SBCTA facility, if necessary.		
3	Conduct accountability of personnel and visitors.		
4	Implement safety measures.		
5	Contact property manager (CityCom) to disconnect utilities and power to the building to limit further damage.		
6	Direct and assist emergency personnel as required.		
7	Contact Board President to discuss the need to activate COOP		
8	Activate COOP.		
9	Notify SBCTA personnel about the incident and COOP Activation.		
10	Hold Response meeting at pre-determined site or via phone. Utilize alternate communication equipment if telecommunications infrastructure is unavailable.		
11	Coordinate relocation procedures in coordination with Management Services.		
12	Notify external stakeholders of COOP Activation.		



## San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

Item	Task	Task Assigned To	Date/Time Completed
13	Assemble supporting elements required for reestablishing and performing Mission Essential Functions at Continuity Facility: <ul style="list-style-type: none"> <li>• Essential Records and Databases</li> <li>• Critical software</li> <li>• Key Personnel</li> <li>• Critical Equipment</li> </ul>		
14	Prepare designated communications and other equipment for relocation.		
15	Take appropriate preventive measures to protect other communications and equipment that will not be relocated.		
16	Ensure computer connectivity and phone line transfers to the designated Continuity Facility or employees' home office.		
17	Ensure drive-away kits (COOP plans and supporting materials) are complete and ready for transfer.		
18	Backup, secure, and retrieve vital records, if safe to do so.		
19	Key Personnel begin moving to the Continuity Facility.		
20	Coordinate public information release regarding COOP Activation with the Chief of Legislative and Public Affairs.		
21	Coordinate with the Finance Department to track all expenses and resources related to the Emergency, if applicable.		
22	Notify insurance broker and insurance carrier of disruptive incident.		
<b>Continuity Operations</b>			
23	Conduct accountability of personnel.		
24	Organize Key Personnel and account for Backup personnel. Fill staffing shortages, as needed.		
25	Arrange for – adjust task based on the fact that employees will use home office as alternative facility:: <ul style="list-style-type: none"> <li>• On-site telephone</li> <li>• E-mail and phone directory</li> </ul>		

## San Bernardino County Transportation Authority Enterprise Continuity of Operations Base Plan

Item	Task	Task Assigned To	Date/Time Completed
<b>Continuity Operations</b>			
26	Occupy workspace – adjust task based on the fact that employees will use home office as alternative facility: <ul style="list-style-type: none"> <li>• Stow equipment.</li> <li>• Set up vital files, records, and databases.</li> <li>• Test phone, fax, e-mail, and other communications.</li> <li>• Establish communications with essential support elements and department elements.</li> </ul>		
27	Determine which Mission Essential Functions have been affected.		
28	Prioritize Mission Essential Functions for Restoration.		
29	If needed, implement Orders of Succession and Delegations of Authority.		
30	Ensure that all Critical Equipment, critical software, and vital files, records, and databases are available at Continuity Facility, when applicable.		
31	Coordinate procurement of additional equipment, as needed.		
32	Begin performing Mission Essential Functions.		
33	Coordinate public information release on the status of COOP implementation with the Chief of Legislative and Public Affairs.		
34	Track status and Restoration efforts of all Mission Essential Functions.		
35	Begin redeployment plans for phasing down Continuity Facility operations.		
36	Survey condition of primary location and determine feasibility of salvaging, restoring, or returning to original facilities when Emergency subsides or is terminated.		
37	Address new legislation or compliance requirements resulting during the incident.		
38	Monitor staff well-being, manage fatigue and stress issues		
<b>Reconstitution</b>			
39	Inform all personnel that the Emergency or Threat no longer exists.		
40	Communicate with municipalities about Response reentry actions.		
41	Resume normal operations.		
42	Inventory and salvage usable equipment, materials, records, and supplies from damaged facility.		

**San Bernardino County Transportation Authority  
Enterprise Continuity of Operations Base Plan**

Item	Task	Task Assigned To	Date/Time Completed
<b>Reconstitution</b>			
43	Document any damaged or lost equipment and records.		
44	Arrange for damaged facilities/resources to be replaced.		
45	Develop long-term Reconstitution and Recovery plans.		
46	Continue to track status and Restoration efforts of all Mission Essential Functions.		
47	Transition all functions, personnel, and equipment from Continuity Facility to designated permanent location.		
48	Track COOP Activation-related costs for possible federal reimbursement.		
49	Determine losses for insurance report.		
50	Coordinate public information release on the status of Reconstitution efforts with the Chief of Legislative and Public Affairs.		
51	Conduct an after-action review of the effectiveness of the COOP and identify areas for improvement.		
52	Develop a corrective action plan and remedial action plan.		
53	Request reimbursement through public assistance or insurance policies, when applicable.		

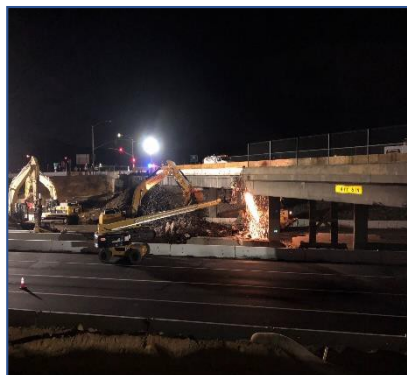
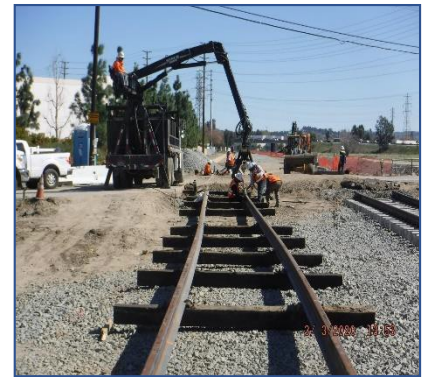


# Continuity of Operations Plan

## cta

San Bernardino County  
Transportation Authority

# 2021



## Continuity Plan Approval

The Continuity Plan for the Department's Name has been reviewed by the SBCTA Executive team. We understand our responsibilities and will execute this plan should a disruption in service or continuity Event occur.

By the signatures below, the following senior level management certify that they approve this Continuity Plan and fully understand the continuity of business operations procedures that are to be followed in the event of an Emergency that impacts the facilities and employees for which we are responsible.

Approved: \_\_\_\_\_ Date \_\_\_\_\_  
**Dr. Raymond W. Wolfe, Executive Director**

Approved: \_\_\_\_\_ Date \_\_\_\_\_  
**Duane Baker, Deputy Executive Director**

Approved: \_\_\_\_\_ Date \_\_\_\_\_  
**Directors Name, Title**

Approved: \_\_\_\_\_ Date \_\_\_\_\_  
**Beatriz Valdez, Director of Special Projects and Strategic Initiatives**

Approved: \_\_\_\_\_ Date \_\_\_\_\_  
**Eric Dahlen, Risk Manager**

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## **i. Introduction**

Continuity planning is a fundamental responsibility of public institutions and private entities to our nation's citizens. Continuity planning facilitates the performance of essential functions during an Emergency situation that disrupts normal operations and/or the timely resumption of normal operations once the Emergency has ended. A strong continuity plan provides the organization with the means to address the numerous issues involved in performing essential functions and services during an Emergency. Without detailed and coordinated continuity plans and effective continuity programs to implement these plans, jurisdictions risk leaving our nation's citizens without vital services in what could be their time of greatest need.

San Bernardino County Transportation Authority's (SBCTA) mission is to improve the quality of life and mobility in San Bernardino County. To accomplish this mission, SBCTA's Executive Team will ensure operations are performed efficiently with minimal disruption, especially during an Emergency. This document is an Annex to SBCTA Enterprise Continuity of Operations Base Plan that is specific to SBCTA's agency-wide level operations to ensure the capability of conducting the essential missions and functions under all Threats and conditions.



## ii. Plan Development, Implementation and Maintenance

This plan is developed in accordance with guidance in the Continuity Guidance for Non-Federal Entities, dated October 2013.

### Business Continuity Planning Process

SBCTA Continuity of Operation (COOP) planning is merely a “good business practice” and part of the fundamental mission of all government agencies to be responsible and reliable public institutions. The Business Continuity Planning process was established in phases to (1) contain provisions for an orderly Response and Recovery from any Incident; (2) identify and assess current capabilities, including but not limited to, personnel, communications, information technology and facilities; and (3) assure compliance with legal and statutory requirements.

### Implementation

The Department's name Continuity of Operations Plan is a supporting Annex to SBCTA Enterprise Continuity of Operations Base Plan. In order to implement the Agency-wide plan, the planners developed the process in phases.

#### Phase I

The Risk Manager and the Director of Special Projects and Strategic Initiatives presented an overview of Business Continuity and the requirements including explanation of the Business Process Analysis and the Business Impact Analysis (BIA) to the Executive Team and the Business Continuity Planners. Procedures on how to develop a Continuity of Operations Plan were drafted and shared with the Executive Team and the Business Continuity Planners. The Business Continuity Planners met to go over the expectations and the tools to be utilized during the Business Process Analysis. A brief video related to the BIA was shared with all SBCTA staff. The BIA questionnaire template was shared with the department staff prior to the BIA meeting. The Business Continuity Planners met with each Department to (1) explain the purpose, importance, and key components of the SBCTA Continuity Program and (2) perform the BIA interview. In addition, the Risk Manager and the Director of Special Projects and Strategic Initiatives interviewed department staff and performed a risk assessment.

#### Phase II

The Department's name identified and prioritized the primary Mission Essential Functions (MEFs) that are important during normal operations and critical during a Crisis and developed an advanced team comprised of leadership, staff and private contractors to execute the continuity plan.

## Maintenance

### Annual Review

On an annual basis, the Continuity Plan, MEFs, and Business Impact Analysis shall be reviewed and updated, if changes occur, SBCTA's Risk Management division will document the date of the review and the names of personnel conducting the review using the table below as a guideline. Vendor information will be updated semi-annually. Changes will also be incorporated into SBCTA Enterprise Continuity Operations Base Plan as necessary.

### iii. Objectives

The Continuity of Operations (COOP) Plan documents the steps taken to ensure that Department's Name is able to continue its MEFs throughout any potential disruption Event.

The primary objectives of this plan include the following:

- Ensure the continuous performance of MEFs during a disruption Event;
- Protect staff and essential facilities, equipment, Essential Records, and other assets;
- Reduce or mitigate disruptions to operations;
- Assess and minimize damage and losses;
- Provide timely and effective communication to staff and external stakeholders;
- Facilitate decision making during a disruption Event; and
- Achieve a timely and orderly Recovery from a disruption Event and resumption of full service to customers.

#### iv. Record of Changes

The Risk Management Division will maintain the official copy of the Continuity Plan. The Risk Manager will use the record of changes table below to track changes.

Change Number	Section/Page	Date of Change	Individual Making Change	Description of Change

## v. Record of Distribution

The Risk Manager will use the record of distribution table below to document a record of distribution. This document is for official use only. Any release of this document needs to be coordinated with the Risk Manager. This plan has been prepared for the sole use of the members of SBCTA's Continuity Management Group (CMG) and safety partners.

Individual Distributed to	Section	Date of Distribution	Format (Electronic or Hard Copy)	Authorized by

## I. Essential Functions

All organizations should identify and prioritize their MEFs as the foundation for continuity planning. These essential functions must be performed to achieve the department's mission. Each essential function, in turn, is supported by critical processes or services that are provided to the public or other departments within SBCTA. The goal of this section is to identify, prioritize, and allocate resources for those essential functions.

A Recovery Time Objective (RTO) is the amount of time in which systems, processes, services, or functions must be restored to acceptable levels to ensure the continuation of MEFs. The following are MEFs for Department's name.

### A. Identification of Essential Functions and RTO

Mission Essential Functions	Mandated Recovery Time Objective



A. Interdependencies

Mission Essential Functions	Dependencies (Processes or Services that Support Essential Functions)	Department/Vendor Responsible for Dependency Process

B. Vendor Contact List

Vendor	Telephone #	Contact	Equipment or Service

### III. Essential Records and Databases

This section provides support and resources that will be implemented and/or utilized upon Activation of this Annex.

#### A. Survival Kit

The agency maintains several survival kits throughout the building that will provide coverage to all staff for up to three (3) days.

(References Procedure 10104 Emergency Action Plan - Section XIII E on Page 10.)

#### B. Vital Records Management

The identification, protection, and ready availability of vital records, databases, and hardcopy documents are critical elements of a successful continuity plan and program. In this document, “vital records” refers to information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity situation.

Mission Essential Functions	Essential Record/Database	Form of Record (e.g., hard copy, electronic)	Location (Physical and/or Electronic)	Available at Continuity Facility (Yes or No)	Hand Carried to Continuity Facility (Yes or No)



C. Information Systems and Hardware

Mission Essential IT Systems and Equipment	Supports Mission Essential Function	Quantity needed

D. Other Equipment and Supplies

Mission Essential Functions	Supporting Vital Equipment/Supplies
All functions	Phones, paper, pens, pencils, paper clips, stapler, staples, notepads, envelops, stamps, chairs, desks

## IV. Continuity Facilities

### A. Advance Team

Please identify your department's representative(s) for an Advance Team. The Advance Team will be comprised of representatives from Facilities Management, Information Technology, and individual Agencies/Departments, and is responsible for setting up the facility for continuity operations before the arrival of the CMG members.

Advance Team Member(s) (Position)	Contact Information

### B. Continuity Management Group

Please identify your department's representative(s) for the CMG. The CMG members are the personnel responsible for performing MEFs during a COOP Activation.

Continuity Management Group Member(s) (Position)	Contact Information

**C. Continuity Facility Requirements**

At a minimum, organizations should identify and maintain a Continuity Facility. A Continuity Facility may be classified as one of the following two types:

1. Hot Site: A Continuity Facility that already has in place the computer, telecommunications, and environmental infrastructure required to recover Critical Business Functions or information systems.
2. Warm Site: A Continuity Facility that is equipped with some hardware and communications interfaces, electrical and environmental conditioning which is capable of providing backup after additional provisioning software or customization is performed.

**Continuity Facility**

Facility	Facility Name/Addresses	Number of Personnel	Potential Risk Factors/Hazards at the Primary Facility	Access/Security Requirements	Limitations to / Special Needs of Continuity Facility	Logistical support needed	Existing MOU for use of the Continuity Facility

Note: Not only does the continuity work site need to be identified and the care of staff arranged, but the security and access to both the primary and continuity facilities during Emergency and non-Emergency situations must be arranged (to be included in MOU).

**D. Continuity Facility Capabilities and Map**

The following is a list of logistical, resource, and infrastructural needs that will be required at the Continuity Facility in the event the department has to relocate during a continuity Event.

Facility Name, Address, Phone Number	Landline Jacks	Data Jacks	Tables	Chairs	Building Capacity	Rest rooms	Kitchen	Parking Spaces	Open Space	Other Factors

**Insert map.**

E. Employee Notifications when Relocating

Please identify how your Department will notify staff to relocate to a Continuity Facility.

<b>ALL SBCTA</b>	<b>Notification Method</b>	<b>Procedure</b>
<b>During Working Hours</b>	Phone (if available)	Call personnel using the Emergency contact list (from SBCTA employee contact list).
	Phone, text, email	SBCTA Computer Network Disaster Recovery, Emergency Action Plan, and Continuity of Operations Plans, SBCTA Policy Manual (To be developed)
	Phone, text, and email	Call, text, and email using Emergency contact information and Outlook
<b>During Non-Working Hours</b>	Phone (if available)	Call personnel using the Emergency contact list (from SBCTA employee contact list).
	Phone, text, and email	Call, text, and email using Emergency contact information and Outlook

F. Transportation Responsibilities for Relocating

All personnel should be briefed on organization continuity plans that involve using, or relocating personnel to continuity facilities, existing facilities, or virtual offices. Continuity personnel should be provided supplemental training and guidance on relocation procedures.

Transportation	
How will staff get from the primary facility to the Continuity Facility (i.e., privately owned vehicles, buses) during working and nonworking hours?	privately owned vehicles
What provisions will be made for transport of disabled continuity employees?	In a disruptive Event, transportation for disabled continuity employees will be coordinated depending on the employee's disabilities.

**G. Telecommuting**

When identifying and preparing continuity facilities, maximum use should be made of existing local or field infrastructures, including consideration for other supporting options such as telecommuting locations, work-at-home/telework agreements, virtual offices, and joint or shared facilities. SBCTA has a telework agreement in place and, when feasible, the primary relocation facility will be the employee's home office. Therefore, the MEFs that are adaptable to telecommuting have been identified as follows:

Mission Essential Functions	Telecommute (Yes, No, Partially)	If Partially indicate reasons

## V. Continuity Communications

### A. Notifications and Ongoing Communications

Individual Directors or designees are responsible for maintaining plans and procedures for communicating and coordinating activities with personnel before, during, and after a continuity Event.

### B. Internal (Department)

<b>ALL SBCTA</b>	<b>Notification Method</b>	<b>Procedure</b>
<b>During Working Hours</b>	Oral	Individual and group information; Call Tree: chief to mgr, mgr to staff
	Email	Group and individual emails to work email via Agency MS Exchange/Outlook
	Text	Group text using the Agency's texting system
	Posting	Notices attached to walls, doors, posting area
	Telephone	Work phones and personal cell phones; develop telephone tree
		Call personnel using the Emergency contact list (from SBCTA Employee contact list).
<b>During Non-Working Hours</b>	Email	Group and individual emails to personal emails
	Text	Group text
	Telecommunications (voice/text)	Home phones and personal cell phones; develop telephone Call Tree
	Website	SBCTA website
		Call personnel using the Emergency contact list (From SBCTA contact list).

C. External (Stakeholders/Interdependencies)

Name of Organization	Contact Information

D. Ongoing Communications

Please identify the systems that will be utilized for ongoing communications with staff, external partners, and the community.

Communication System	Current Provider	Alternative Mode
Cell phone – none provided by SBCTA	N/A	Personal cell and landline
Email	MS Outlook	Personal email
Internet	Frontier	Personal internet or hotspot
Landline - phone service Mitel Connect – voicemail/roll forward functionality	<ul style="list-style-type: none"> <li>• Frontier</li> <li>• KTS Networks</li> </ul>	Personal cell and landline
Media	<ul style="list-style-type: none"> <li>• Local television news</li> <li>• Local newspapers</li> <li>• National news services</li> </ul>	Text
Scanner/fax machine	<ul style="list-style-type: none"> <li>• Frontier</li> </ul>	Email
Web presence and social media	<ul style="list-style-type: none"> <li>• Facebook</li> <li>• Twitter</li> <li>• Instagram</li> <li>• LinkedIn</li> <li>• WordPress (SBCTA Newsroom)</li> <li>• YouTube</li> </ul>	N/A

E. Communication Requirements

Most critical and required communications and IT capabilities should be operational as soon as possible following the continuity Activation, and in all cases within 72 hours of continuity Activation. Organizations need to plan accordingly for essential functions that require uninterrupted communications and IT support.

Communication System	Support to Essential Functions	Current Provider	Specifications	Alternate Provider	Special Notes
Data lines					
Email			Outlook		
Internet & Wi-Fi		Frontier			
Telephone System	All functions	Frontier			1-800-921-8102 Account No. 909/381-7000 and 909/885-4407
Zoom		Online App			<a href="http://www.zoom.com">www.zoom.com</a>



## VI. Leadership and Human Capital

Lines of Succession is the designation of an individual to act for and exercise the powers of a principal in the event of that principal's death, incapacity, or resignation and until that official is appointed by appropriate authority.

Program Responsibility: Successor will either have full or limited responsibility.

- Full responsibility: The successor will assume full responsibility for essential function operations during a COOP Event.
- Limited responsibility: The successor will assume limited responsibility for essential function operations during a COOP Event.

### A. Orders of Succession

Mission Essential Functions	Key Positions	Successor 1 <i>(By Position)</i>	Successor 2 <i>(By Position)</i>	Program Responsibility <i>(Full or Limited)</i>

### B. Delegations of Authority

Based on the order of succession identified in above table, identify the type of authority given and any limitations during the Emergency Response. There are two categories of authority that should be addressed in a delegation of authority plan: Emergency authority and administrative authority.

- Emergency Authority refers to the ability to make decisions related to an Emergency, such as deciding whether to activate a continuity of operations (COOP) plan, deciding whether to evacuate a building, or determining which personnel should report for their duties. In an Emergency requiring COOP Activation, the CMG members are often the natural choice for assuming Emergency authority. However, the CMG members are not the only candidates for such authority.

- Administrative Authority refers to the ability to make decisions that have effects beyond the duration of the Emergency. Unlike Emergency authority, administrative authority does not have a built-in expiration date. Such decisions involve policy determinations and include the hiring and dismissal of employees, allocation of fiscal and non-monetary resources, etc. Statutory or constitutional law may limit the delegation of this kind of authority, and agency counsel may need to be consulted when determining this type of delegation of authority.

Leadership Position	Type of Authority	Triggering Conditions	Limitations

**C. Human Capital**

1. Accountability Procedures
2. Staff Assigned to Support Continuity Operations
3. Staff Not Assigned to Support Continuity Operations

Accountability Procedures	
1. What are your staff accountability procedures during working hours?	As the continuity Event allows, maintain practices as outlined in SBCTA Policies and Procedures. Follow chain of command.
2. What are your staff accountability procedures during non-working hours?	Use the chain of command. Supervisors to contact their staff.
3. Who is accountability information reported to and in what frequency?	Deputy Executive Director, frequency depends on the Emergency.
4. Please identify the division responsible for ensuring provisions and procedures are in place and implemented for staff, including those affected by an Incident.	<ul style="list-style-type: none"> <li>• Management Services - Deputy Executive Director</li> <li>• Risk Management - Risk Manager</li> </ul>
5. How are staff members that are not immediately needed to support continuity operations accounted for? How will guidance be provided to these staff members?	Contact maintained via telephone and email. Managed via chain of command.

D. Devolution

Devolution is the capability to transfer statutory authority and responsibility for essential functions from a department’s primary operating staff and facilities to another SBCTA Department or Partner Agency/vendor if necessary. This is primarily needed to address catastrophic Disasters and Events that render the **Department’s name** staff unavailable or incapable of executing MEFs from either the function’s primary or alternate location.

Table A. Devolution of Control and Direction

Mission Essential Functions	To Whom MEFs Will Be Transferred	Roster of Trained Staff	Equipment, Supplies, Applications Needed	Procedures for Acquiring Supplies

## VII. Human Resources

### A. Human Resources Considerations

During a Continuity of Operations (COO) Event, Management Services will make determination of pay, benefits, flexibility, and overtime for the employees on a case-by-case basis in accordance with SBCTA's administrative policy and any federal/state requirements resulting from the Emergency Event.

## VIII. Budgeting and Acquisition of Resources

To support these programs, it is necessary to align and allocate the budgetary resources needed to acquire and then implement these requirements. Through the budgeting and planning process, an organization’s leaders and staff will ensure critical continuity resources are available to continue performing the organization’s essential functions before, during, and after a COO Event. SBCTA departments will continue to use their regular budget during Emergencies to carry on the vital services they provide. In the event that additional resources are needed, the normal budgetary process will apply, unless different authority is granted by the Board of Directors due to the type of Emergency being responded to. Any procurement related to the Emergency will follow Policy 11000 Contracting and Procurement Section VI Exceptions, subsections C. Emergency Procedures, and D. Remedial Measures.

- A. Continuity Budgeting Policies
- B. Procurement
- C. Contractor Statements of Work
- D. Blanket Purchase Orders
- E. Disaster Fund/Budget

<b>ALL SBCTA</b> <b>Budgeting and Acquisition of Resources</b>	
1. How will your department budget for ongoing maintenance and training associated with the COOP Plan (including annual reviews, revisions, and training, testing, and exercising efforts)?	Based on the normal process, include necessary resources in the Indirect Cost Fund.
2. Has your department been assigned a credit card? If so, what is the limit and who has the authority to utilize the card?	Each Director has a credit card.
3. What is the policy if your Department exceeds the spending limit on the credit card?	The bank will not authorize purchases over the limit. Chief Financial Officer may request Bank to increase limit as appropriate.
4. Does your Department have contractor statements of work in place that incorporate provision of services during Emergencies? If so, please identify.	
5. Does your Department have authority to utilize blanket purchase orders? If so, please explain.	No
6. Does your budget have a line item for Disaster Fund? If so, what is the amount allotted?	No
7. What is the policy if your Department exceeds the amount allotted in your Fund?	Must follow Financial Policies 20000 – <a href="#">budget section</a>

## IX. Training and Exercising

SBCTA will conduct Exercises that incorporate the deliberate and preplanned movement of Continuity personnel and staff in charge of the departments to an alternative site or telework as applicable. This training will concentrate on familiarizing everyone with the plan and all tasks for which management on duty at the time of COOP Activation would be responsible. The training would also include detailed information with a contact list of who needs to be notified, how to execute the COOP Plan, what materials are to be taken, and how and where to go during a disruption Event.

Refresher training and exercising will be conducted by SBCTA Safety Committee and/or Risk Manager on an annual basis to check staff and equipment capabilities.

### Annual Exercise Record

Element Reviewed	Date of Exercise	Certified By	Certification Date

## X. Checklists

- A. Activation and Relocation
- B. Continuity Operations
- C. Reconstitution Operations

### A. Activation and Relocation Staff Responsibilities (0-12 Hours Following an Incident)

Critical Tasks	Staff Assigned
Notify employees about the Incident.	Deputy Executive Director
Notify employees of Continuity Plan Activation and provide Alternate Site relocation instructions.	Deputy Executive Director
Implement communications plan- notify the appropriate internal and external organizations of relocation.	Chief of Legislative and Public Affairs Dept head
Back-up, secure, and retrieve vital records, if safe to do so.	Deputy Executive Director Dept Head
Account for department employees supporting essential functions.	Dept head
Provide continuity of operations guidance to department staff.	Dept head
Transport or transfer vital records, supporting communications, IT framework, and other vital equipment to the alternate location, if safe to do so.	Chief of Management Services
Conduct Damage Assessment and identified continuity activities that area to be temporarily reduced or suspended	Deputy Executive Director
Access backup files and establish temporary server	Chief of Management Services
Execute identified actions as appropriate such as out-of-office messages, phone diversions, website updates, send emails/text messages	Deputy Executive Director Chief of Management Services Chief of Legislative and Public Affairs

## B. Continuity Operations Critical Tasks and Staff Responsibilities

Critical Tasks	Staff Assigned
Provide additional guidance to employees not supporting essential functions	Dept head
Identify additional staffing requirements/reorganize staff, responsibilities, and reporting lines	Dept head
Identify additional equipment and supplies necessary	Dept head
Identify and fill staffing shortages	Dept head Chief of Management Services
Procure additional equipment and supplies	Dept head Management Analyst II – Management Services
Arrange for damaged facilities/resources to be replaced or restored	Deputy Executive Director Management Analyst II – Management Services
Re-establish communications with and notify internal and external stakeholders of Continuity Facility, operational status, and anticipated duration of relocation (if known)	Chief of Legislative and Public Affairs
Determine whether continuity through Devolution is required	Dept head Deputy Executive Director
Address new legislation or compliance requirements resulting during the Event	Dept head
Monitor staff well-being, manage fatigue and stress issues	Dept head



### C. Reconstitution of Operations Responsibilities

Organizations should identify and outline a plan to return to normal operations once organization heads or their successors determine that Reconstitution operations for resuming normal business operations can be initiated.

Critical Tasks	Staff Assigned
Notify internal and external stakeholders of the Reconstitution status	Deputy Executive Director
Prioritize decommissioning of actions put in place during the "Response stage"	Deputy Executive Director
Contact non-critical staff, conduct welfare check, advise of return to work details, establish ability to return to work	Dept head
Transfer the equipment, vital records, and supplies to the primary facility	Management Analyst II – Management Services
Continue to communicate with employees about the department's status and provide Reconstitution instructions	Deputy Executive Director Dept head
Commence re-establishing business-as-usual- and keep staff/stakeholders updated	Dept head
Notify when COOPs has been deactivated and normal operations have commenced	Deputy Executive Director Dept head
Conduct assessment/review of communication methods and channels to determine effectiveness	Risk Manager Dept Head
Communicate how any backlog or transition of work carried out under alternate arrangements are to be addressed	Dept head
Reconcile hardcopy processing/filing	Dept head

## XI. Appendix A: Glossary of Terms

**Activation:** The implementation of continuity of operations (COOP) capabilities, procedures, activities, and plans in Response to a disruption Event.

**Advance Team:** A team composed of staff responsible for responding first to the COOP activation and getting the alternative facility ready.

**Alternate Site:** A Continuity Facility held in readiness for use during a Business Continuity Event to maintain an organization's Business Continuity.

Related Terms: *Hot Site, Warm Site*

**Backup (Data):** A process by which data, electronic or paper-based, is copied in some form so as to be available and used if the original data is lost, destroyed, or corrupted.

**Business Continuity:** The ability of a department to ensure continuity of service and support for its customers and to maintain its viability before, after, and during an Event.

**Business Continuity Planners:** A team of individuals who participate in the development and upkeep of the COOP.

**Business Continuity Planning (BCP):** The process of developing advance arrangements and procedures that enable a department to respond to an Event in such a manner that Critical Business Functions continue with planned levels of interruption or essential change.

Related terms: *Contingency Planning, Disaster Recovery Planning, Continuity Planning*

**Business Impact Analysis (BIA):** A process designed to prioritize business functions by assessing the potential quantitative (financial) and qualitative (non-financial) impact that might result if a department was to experience a Business Continuity Event.

**Call Tree:** A document that graphically depicts the calling responsibilities and the calling order used to contact management, employees, customers, vendors, and other key contacts in the event of an Emergency, Disaster, or severe outage situation.

**Continuity Facility:** An alternate operating location to be used for business functions when the primary facilities are inaccessible. 1) Another location, computer center, or work area designated for Recovery. 2) A location, other than the main facility, that can be used to conduct business functions. 3) A location, other than the normal facility, used to process data and/or conduct Critical Business Functions in the event of a Disaster.

Related terms: *Hot Site, Warm Site*

**Continuity Management Group (CMG):** Teams of individuals who have been trained to deploy to a Continuity Facility to continue essential functions.

**Continuity of Operations Plan (COOP):** A COOP provides guidance on the system restoration for Emergencies, Disasters, and mobilization, and for maintaining a state of readiness to provide the necessary level of information processing support commensurate with the mission requirements/priorities identified by the respective functional proponent. The Federal Government and its supporting agencies traditionally use this term to describe activities otherwise known as Disaster Recovery, Business Continuity, Business Resumption, or Contingency Planning.

**Crisis:** A critical Event that, if not handled in an appropriate manner, may dramatically impact a department's profitability, reputation, or ability to operate; or, an occurrence and/or perception that threatens the operations, staff, shareholder value, stakeholders, brand, reputation, trust, and/or strategic/business goals of a department.

**Critical Business Functions:** Business activities or information that could not be interrupted or unavailable for several business days without significantly jeopardizing the operation of the organization.

Related term: *Mission Essential Functions*

**Damage Assessment:** The process of assessing damage, following a Disaster, to computer hardware, Essential Records, office facilities, etc., and determining what can be salvaged or restored and what must be replaced.

**Dependency:** The reliance, directly or indirectly, of one activity or process upon another.

**Devolution:** Delegation of authority or duties to a subordinate or substitute in the event of the total dismantlement of an organization and loss of personnel.

**Disaster:** A sudden, unplanned, calamitous Event causing great damage or loss as defined or determined by a risk assessment and Business Impact Analysis. Any Event that creates an inability on a department's part to provide Critical Business Functions for some predetermined period of time.

**Emergency:** An unexpected or impending situation that may cause injury, loss of life, destruction of property, or that may cause the interference, loss, or disruption of a department's normal business operations to such an extent that it poses a Threat.

**Essential Record:** A record that must be preserved and available for retrieval if needed.

**Event:** Any occurrence that may lead to a Business Continuity Incident.

**Exercise:** A people-focused activity designed to execute Business Continuity Plans and evaluate the individual and/or department performance against approved standards or objectives. Exercises can be announced or unannounced and are performed for the purpose of training and conditioning team members and validating the Business Continuity Plan. Exercise results identify plan gaps and limitations and are used to improve and revise the Business Continuity Plans.

**Hot Site:** A Continuity Facility that already has the computer, telecommunication, and environmental infrastructure in place that is required to recover Mission Essential Functions immediately upon COOP **Backup (Data)**.

Related Terms: *Alternate Site, Warm Site*

**Incident:** An Event that is not part of a standard operating business, may impact or interrupt services, and, in some cases, may lead to Disaster.

Related terms: *Crisis, Event*

**Lines of Succession:** A predetermined plan for ensuring the continuity of authority, decision making, and communication in the event that key members of senior management suddenly become incapacitated, or in the event that a Crisis occurs while key members of senior management are unavailable.

**Mission Essential IT Systems:** An application that is essential to the department's ability to perform necessary business functions. Loss of the mission essential application would have a negative impact on the business, as well as legal or regulatory impacts.

**Mission Essential Functions (MEF):** Business activities or information that could not be interrupted or unavailable for several business days without significantly jeopardizing the operation of the organization.

**Reconstitution:** The process of planning for and/or implementing the restarting of defined business processes and operations following a Disaster. This process commonly addresses the most Critical Business Functions within Business Impact Analysis-specified timeframes.

**Recovery:** Implementing the prioritized actions required to return the processes and support functions to operational stability following an interruption or Disaster.

**Recovery Time Objective (RTO):** The period of time within which systems, applications, or functions must be recovered after an outage (e.g., one business day). RTOs are often used as the basis for the development of recovery strategies and as a determinant for implementing the recovery strategies during a Disaster situation.

**Response:** The reaction to an Incident or Emergency to assess the damage or impact and to ascertain the level of containment and control activity required. In addition to addressing matters of life safety and evacuation, Response also addresses the policies, procedures, and actions to be followed in the event of an Emergency.

Related terms: *Emergency Response, Damage Assessment*

**Threat:** A combination of the risk, the consequence of that risk, and the likelihood that the negative Event will take place. (Example Threats: natural, man-made, technological, and political Disasters)

**Warm Site:** An alternate processing site that is equipped with hardware, communications interfaces, power, and environmental conditioning capable of providing backup after additional provisioning, customization, or data restoration.