
CALIFORNIA INNOVATION PLAYBOOK FOR GOVERNMENT CHANGE AGENTS (CAL-IPGCA) 2018 COHORT

Team 4 – BOOM CEO's

Innovation Priority

In 2017, California experienced five federally declared events within 12 months that resulted in mass evacuations and sheltering operations, over 1.2 million acres burned, over 11,000 homes and businesses destroyed, and tragically claimed 66 lives. These events required the sustained and unified effort of all State departments and employees to support all of the communities impacted by these disasters; many are still struggling to recover. Keeping up with existing mission critical program priorities while supporting communities who are dealing with complex response and recovery needs has placed significant pressure on numerous departments and agencies. *What best practices can departments put in place to better address these long-term needs when disasters strike?*

Moonshot

Expand the Continuity of Government Planning by Implementing Policy and Planning Tools to Address Departmental Operational Needs While Responding to State Disasters.

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Introduction

The ultimate goal of Continuity Planning is to ensure that the State of California is able to continue its vital governmental services and operations under all conditions. For this to take place, state agencies must have plans in place to carry out their departmental essential functions without interruption even while responding to State emergencies and disasters.

To enhance California's existing continuity program and to better prepare state agencies, this white paper argues for the incorporation of new concepts to the existing state program into a revised continuity guide, the Continuity Planning and Response Guidance (Response Guidance). The elements of a viable continuity plan are described in the existing Guidance. The additional elements introduced here are critical to establishing and maintaining a comprehensive and effective organizational capability for State departments when they are called to actively respond to state disasters. This Response Guidance requires departments to assess their statutory and mission critical responsibilities and plan how to continue meeting these responsibilities while a large number of staff are deployed to disaster response.

The Response Guidance suggests a list of changes to the revised state continuity program, recommendations for human resource changes such as the State's use of retired annuitants, the use of students, contractors, reassigned state personnel, and to establish a disaster volunteer services program. Additionally, we define a self-certification program for state agencies and departments to implement.

Urgency

November's Camp Fire is the deadliest and most destructive ever recorded in California. As of November 30, 2018, it had killed at least 85 people, destroyed nearly 13,000 homes and charred over 150,000 acres. Governor-elect Newsom has recently said "preventing and fighting wildfires will be a top priority. That starts with more resources to address the crisis."

According to Fortune.com, due to the impacts of climate change, the number of these types of large fires will increase by 50% by the end of the century and the amount of land that burns each year will increase by 77%. And there are countless other disasters that California must respond to such as earthquakes, terrorist attacks, and more. Therefore, the State of California must not only prepare externally for the disasters, but we must also prepare internally. We must prepare at the core of our departments. If we choose not to properly prepare our administrative workforce for the changes and workload that come about when internal staff are activated to respond to a disaster, we are choosing to fail.

Preparation must occur now in order to address the following areas of potential weakness:

- Backlog
- Lack-of Cross Training
- Increase in Disasters
- Employee Fatigue
- Lack of Interdepartmental Communication
- Increased Liability
- Lack of Personnel to Backfill
- Employee Turnover

Preparation can bring about the following strengths in state government no matter the crisis:

- Efficiency
- Standardization
- Interdepartmental Communication & Community
- Positive Employee Morale

Opportunity

This moonshot project is an opportunity for the departments within the State of California to take a proactive approach to disaster planning. Departments are required to prepare and plan for continuity of government; an emergency directly impacting their business processes and their ability to maintain their governmental duties. However, there currently is not a procedure for departments to properly plan for how their mission critical responsibilities will be carried out while their personnel and resources are being called upon to respond to state disaster events. This project is an opportunity to pre-plan for these events, to identify needed resources to maintain a department's daily mission critical tasks, and to put the plan in place for when it is needed.

Some of the opportunities that development of a Response Guidance document will lend to each department or agency include:

- Opportunity to provide managers statewide with a template/plan/checklist
 - So they are not starting from scratch
 - Resources and links have been pre-identified
 - Can be customized for each agency/department
- Opportunity for departments to be proactive vs reactive by completing early planning efforts
 - “OK, this is our situation, we need to keep our daily activities during this time, let’s pull out the plan and activate it.”
- Opportunity for the state to create better awareness and tools for what is needed in terms of both Human Resources and department policies
 - Create a new database to identify qualified and available retired annuitants, students, contractors, and emergency volunteers that can be called upon to assist departments.
 - Existing boomerang database could be expanded to Emergency-boomerang (or E-boomerang).
 - Reassigning personnel from other departments
 - Think out of the box, look at working with other existing organizations that may be able to expand their capabilities to assist state departments such as the American Red Cross or Volunteers of America
 - Opportunity to look at the policies that would be needed to allow for short term employment brought on by a disaster deployment. Are there policies that exist now that cover this? Are there existing ones that can be modified? Or do we need new policies?
- Opportunity for better public relations with the public and federal agencies
 - The state will be able to show faster and better responses to agencies and public in terms of continuing their daily functions (for example: bills can be paid on-time, someone answers the phone, contractual commitments can be completed)
 - Shows that the state has taken the steps to be proactive and to plan for these situations

Incentives

When it comes to opportunities and mandates to change, one question that is always in the back of everyone’s mind is...”What’s in it for me?” What are the incentives for devising and implementing this change?

Below is a list of incentives that we project will be important to any agency affected by staff responding to an emergency. As you look it over you will see positive impacts to the budget and staffing, as well as to workload priorities.

- Advanced emergency preparedness
- Operational resilience by mitigating the vulnerability of government operations
- A foundation to protect leadership mandates and confidential records and processes
- An ongoing review process for continuity issues and responsibilities to ensure that ongoing expertise is developed within all State agencies
- Standardization of staff movement to fill vacancies in mission-critical units
- Cost savings resulting from advance budgetary alignment
- Greater efficiency, having predetermined training and placement of staff
- Interdepartmental communication and community due to staff exchanges
- Avoidance of or decreased backlogs
- Reduced all-around stress for staff and supervisory/management teams
- Staff skill levels are increased within their classifications due to cross-training
- Greater employee retention due to reduced burnout rates
- Restored passion and higher morale among the staff
- Greater employee engagement, and as a result innovation flourishes

The incentives noted above are general in nature and represent concerns that are common across all state agencies. As each agency uses this plan as a platform for developing their own strategic plan for maintaining priorities amidst disasters, specific and localized incentives for the individual agencies will emerge which will cause implementation of their plan to become far more comprehensive and beneficial. One such incentive that will affect those deployed from all agencies is a greater focus on “being present” at the disaster. Having the peace of mind that a well-planned system for addressing matters of all urgency levels that land on their desks at home will increase safety and productivity while staff are on the front-lines of ever increasing natural disasters in the state of California.

Resources

Creating New Resources for Emergency Response

A need for additional resources to aid in Emergency Response was identified. Therefore, the idea for a new resource called E-Boomerang, which stands for “Emergency Boomerang” was developed and is explained in detail below:

E-Boomerang: A centralized database for not only retired annuitants, but also students and other volunteers who want to support state operations during emergency events. These people would be pre-screened and provided basic training. E-Boomerang members would have separate profiles where they could easily update their information and state their areas of interest and any specific qualifications or certifications they have. Having a centralized, up to date, easily accessible database for all state agencies would allow supervisors to reach out to people in order to backfill positions at any office in order to perform essential functions of the organization.

Currently, Boomerang exists exclusively for retired annuitants and is not specific to state emergency response. Boomerang is not a user friendly system and would need to be modified to accommodate retired annuitants, students, and other volunteers.

More information about the current Boomerang system can be found here:

<https://boomerang.ca.gov/>

Additional Resources Considered and Identified

Many resources were considered when developing this project. It seems that there are already many valuable resources that the State uses, but after examining them, there is a clear gap when it comes to maintaining everyday operations during state declared disasters. The following outlines the available resources that were considered:

Continuity Planning Guidance: This guidance was examined and it was decided that this would be used as a baseline to see what is already being done when it comes to responding during an emergency. However, this guidance focuses more on creating plan that identifies what would happen if the building were to become unsafe to work in. We want to add an Appendix or Chapter to the existing Continuity of Operations Plan that identifies how state resources would be used to maintain normal everyday operations in the office when staff gets deployed during all types emergencies.

<http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/continuity-planning>

CalHR: CalHR would play a critical role in E-Boomerang if it were to be developed. In addition, the following websites were helpful when brainstorming of our Recognition program:

<http://www.calhr.ca.gov/state-hr-professionals/Pages/employee-recognition-toolkit.aspx>

<http://www.calhr.ca.gov/state-hr-professionals/Documents/suggested-statewide-employee-recognition-program-handbook.pdf>

Departmental Administrative Manuals: Every state agency has their own Departmental Administrative Manual (DAM), which is a comprehensive document for administrative policy in that organization. This document would be a good source of information when developing a response plan. It could help identify some of the mission critical functions of an agency, what their processes and procedures are, and what training would be necessary for someone to backfill mission critical positions.

FEMA: FEMA provides online training that could be used to train E-Boomerang members about emergency management and response. They also provide many policy/planning documents and have templates available on their website that should be considered when coming up with a format for our Plan as part of our Moonshot. These templates can be found here:

<https://www.fema.gov/media-library/assets/documents/72598>

Program Plan

State departments implement an effective Continuity Planning and Response program through their related plans and procedures, an effective test, training, and exercise program for response, and operational capability to support those plans and procedures. A critical part of developing a comprehensive Planning and Response program is the establishment of planning and procedural objectives and requirements and the use of metrics to ensure that essential functions continue during response activation.

Planning Strategy

The planning team should create an overall response strategy that is agreed upon by organizational leadership prior to the development of the detailed plan. This response strategy will establish a policy-level framework to guide decisions made later during detailed planning for response implementation.

There are several approaches to developing a response strategy and each should be considered when developing response plans and programs. These may include the more traditional response planning where a department's own cross-trained staff backfill designated essential functions of those normally performed by staff now deployed in response, use of trained retired annuitants or students, activation of a contract for temporary support staff, staff from other state departments through the activation of cross-organizational support agreements.

Planning Objectives

Continuity planning is an effort to document the existence of, and ensure the capability to continue, organization essential functions during a wide range of potential emergencies, specifically the recovery and operation of the organization. The objectives of the Continuity Planning guidance are:

1. Ensuring that an organization can perform its essential functions under all emergency conditions.
2. Executing a successful order of recovery and succession with accompanying authorities in the event a disruption renders that organization's leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of office;
3. Reducing or mitigating disruptions to the organization's operations and essential functions during the impact of an emergency;
4. Ensuring there are facilities from which the organization can perform.
5. Protecting personnel, facilities, equipment, records, and other assets critical to the performance of organization in the event of an emergency;
6. Achieving the organization's timely and orderly recovery and reconstitution from an emergency; and
7. Ensuring and validating continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise program and operational capability.

Response Planning

As noted above, we use the term Response Planning to define when an organization is deployed to help during an emergency. For example, personnel deployed to the State Operations Center or field operations. Response Planning differs from Continuity Planning, but is not exclusive of it, in that it addresses the loss of the organization's personnel and resources for deployment. The organization may otherwise be unaffected by the emergency. Objectives for a Response Plan are:

State Response Guidance Objectives	
Objective Number	State Response Planning Objectives
1.	Ensure the ability to provide continued essential operations/functions of state government by reducing or mitigating disruptions caused by supporting emergency response or deployment.
2.	Assure compliance with essential, legal, statutory, and constitutional requirements of the department while supporting emergency response and deployment.
3.	Provide the ability to quickly activate and integrate individuals and teams providing supporting emergency response or deployment.
4.	Provide the ability to quickly activate and integrate individuals and teams providing support to the department to backfill for deployed staff.
5.	Achieve a timely and orderly recovery from the emergency response deployment and resumption of full service to the department.
6.	Provide an on-going training effort for continuity issues and responsibilities to department directors and coordinating staff to ensure that ongoing expertise is developed within state service.
7.	Provide leadership visible to the state, nation and the world - maintaining the trust and confidence of the citizens ensuring the safety of all residents and visitors.

There are a number of significant similarities between the State's existing Continuity Planning Guidance model and this Response Guidance. The State Continuity Planning model and Response Guidance model share common ground in that they both stress

the maintenance or quick recovery of mission-critical functions following a disruption. That is, continued performance of legislatively mandated responsibilities and services as well as departmental essential functions, missions, and strategic plans. The existing Continuity model addresses direct departmental disruptions in service; however, the Response Guidance model additionally addresses the use of essential personnel as a result of responding to a disaster. For example, a department's staff being mission tasked to respond to a disaster even while the department itself may not be directly impacted. Even though Continuity and Response may seek to prepare for different contingencies, the planning components they use are comparable. Both programs can be used to strengthen the continuity capability of an organization.

There is one significant difference however, between these two continuity models. The Response Guidance model additionally emphasizes the necessity to continue critical functions even while a significant portion of personnel and resources are deployed to disaster response. Important program elements related to the response of government include: ensuring that there are sufficient staff at the department level to fulfill essential functions, cross-training of civil service employees, policies and procedures for rotating deployed response staff, policies for 24-hour staff coverage during response, leadership and chain-of-command for deployed staff.

Integration of Continuity and Response Planning

Integration of continuity planning with response planning and operations includes responsibilities delineated in the Standardized Emergency Management System (SEMS) and National Response Framework (NRF) and is linked to an organization's ability to conduct its mission critical functions. This guidance document does not delineate new procedures for continuity planning other than already established protocols; however, this guidance document does emphasize that organizations with response responsibilities must incorporate requirements to perform their departmental essential functions while actively deploying staff to a state emergency. Integration is especially key for interagency coordination groups that monitor or convene during an incident. The lead agency for these interagency groups must develop and share response plans to ensure the group's continued capability regardless of circumstance, while the department must maintain a response plan that allows it to meet essential functions while responding.

Continuity of Government Readiness Conditions

The California Governor's Office of Emergency Services through the California State Warning Center (CSWC) makes the appropriate notifications to California's executive branch agencies and departments, which shall comply with the requirements and

assigned responsibilities documented in the Continuity of Government Readiness Conditions (COGCON) system.

For the state executive branch, the COGCON system establishes readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies, focusing on possible threats to the Sacramento Capital Region. The COGCON system is a means to establish, measure, and report the readiness of California's executive branch's continuity programs independent of other state or federal government readiness systems.

Four COGCON levels provide for an incremental increase in and deployment of people and resources to enhance staffing, survivability, responsiveness, and availability of assets for immediate support to leadership. The designated COGCON level is based on the current threat and/or risk to the State Government. The Response Guidance should also incorporate levels of planning looking at COGCON expectations.

- COGCON 4 is the day-to-day readiness level with State executive branch government employees at their normal work locations.
- COGCON 3 requires State executive branch departments and agencies to “warm up” their alternate sites and capabilities, which includes testing communications and IT systems. The Response plan additionally requires departments to begin looking at staffing levels and anticipate deployment when activated during an emergency.
- COGCON 2 calls for a deployment of up to 25% of continuity staff to relocate from their normal work functions to responding to a state emergency either through the Cal OES State Operations Center, or the departments own Department Operation Center, while continuing to meet the department's own operations, and performing their organization's essential functions.
- COGCON 1 calls for a full deployment of designated leadership and continuity staff to perform state response while continuing to the organization's essential functions with alternate/cross-trained staff, contracted staff, or other methods of securing staff to meet the department's essential functions while responding to a state declared catastrophic emergency.

Continuity During Response

Response Guidance activation is a scenario-driven process that allows flexible and scalable responses to the full spectrum of emergencies and other events that could disrupt operations with or without warning during duty and non-duty hours. Response Guidance activation is not required for all emergencies and disruptive situations since other actions may be deemed appropriate. The decision to activate the Response Guidance 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 a simple decision matrix to assist in the decision to activate the Response Guidance.

Accountability

Accountability is a key part to any task to ensure they are completed and maintained to stay on point. Having measurable tasks with checkpoints, schedules, and assigned staff are certain aspects to ensuring accountability. The objectives for accountability in this Response Guidance include but are not limited to:

Project/Assignment	Staff Responsible	Steps to Accomplish Project/Assignment	Estimated Completion/Update Dates
Drafting expansion of COG	Agencies	<ol style="list-style-type: none"> 1. Gather information for the expanded portion of the COG 2. Review document to ensure its in line with full COG 3. Finalize document within each Agency. 4. Forward final version to Controlling agency 	Dec. 31, 2019
Responding Staff (Activated)	Agencies staff	<ol style="list-style-type: none"> 1. Select staff to represent agency; 2. Have staff attend required training; 3. Maintain certified annual status (via training); 4. Forward names to controlling agency via COG. 	Annual
COG amendment/changes	Agencies	<ol style="list-style-type: none"> 1. Draft annual amendment/changes if any 2. Review documents in house 3. Implement into final COG document 4. Forward to controlling agency even if no changes are made 	Dec 31, annually
Boomerang	CalHR	<ol style="list-style-type: none"> 1. Maintain current and updated list on Boomerang 2. Provide agencies current list. 	Ongoing/ Every 6 months

Metrics

This Response Guidance is the roadmap for the implementation and management of a department's continuity program aimed to ensure the continuous performance of the agencies' essential operations during an emergency. Here are some proposed metrics for the implementation of the Response Guidance:

- Preparation of Response Guidance: Distribution of number of agencies that prepared continuity plan versus the time
- Identification of Essential Functions: Distribution of number of agencies that identified essential functions for continuity to accomplish organization's mission versus the time
- Prioritization of Essential Functions: Distribution of number of agencies that prioritized essential functions for continuity based on emergency classification impact (high, medium, or low) on public safety and health or agency's critical operations versus the time
- Establishing Order of Succession: Distribution of number of agencies that identified order of succession to key positions within the organization and established delegation of authority to manage essential functions versus the time
- Identification of Human Resources Needs: Distribution of number of agencies that identified personnel with key skills or experience and backup resources among designated continuity personnel and non-designated employees who will be affected by a continuity event to manage essential functions versus the time
- Managing Essential Records and Communications: Distribution of number of agencies that identified the availability of the mission critical communication systems and equipment, electronic and hard copy documents, references, records, information systems, and data management software needed to perform essential functions and activities versus the time during a continuity situation.

Recognition

Effective leadership in maintaining priorities amidst disasters is not about leaders and followers but nurturing people through encouragement and opportunity. Creating teams that passionately work together to pursue a shared vision can set an agency/department apart.

As departments implement their Response Guidance plans, it is equally important to remember the extraordinary employee and/or team achievements. As the planning team creates and maintains their overall response strategy plans they should also work cohesively with an employee recognition committee or task force on employee recognition/performance awards.

Why is Employee Recognition Important?

Employee recognition programs offer benefits not only for the employees, but for their agency/department as well, including:

- Increased employee morale
- Increased productivity
- Increased positive employee commitment and loyalty
- Decreased turnover and increased retention of mid to high performers

Employees not only want good pay and benefits, they also want to be valued and appreciated for their work, treated fairly, do work that is important, have advancement opportunities, and opportunities to be involved in the agency. Recognition and rewards play an important role in work unit and agency programs to attract and retain their employees. It is the day-to-day interactions that make employees feel that their contributions are appreciated and that they are recognized for their own unique qualities. This type of recognition may contribute to high morale in the work environment. So, it's extremely important that managers, who communicate the agency goals to employees, are included in the development of recognition programs.

What's Most important in a Recognition Program?

TO SENIOR MANAGEMENT:	TO EMPLOYEES:	TO MANAGERS OF PROGRAM:
Increases productivity	Satisfies recognition Needs	Includes efficient Administration
Produces Return On Investment (ROI)	Creates positive recognition experience	Excites employees
Improves attitudes	Provides a wide selection of attractive, personalized awards	Creates pride
Builds loyalty and Commitment	Provides timeliness of Recognition	Pleases management
Generates positive Feedback	Guarantees quality of Award	Involves all employees
Empowers the workforce	Fosters open communication of appreciation	Develops a partnership with the workforce
Assures efficiency		

Source: O.C. Tanner, 2000

Goals and Objectives of an Employee Recognition Program

- Recognize and promote positive behaviors that support individual, groups, divisions and departments in achieving the agencies mission, vision, and values.
- Assist in creating a culture of mutual respect, reward, and recognition for employees at all levels.
- Provide timely recognition to employees in a monetary/non-monetary award based on the significance of the contribution.
- Improve employee productivity and quality of work

The Governor of California, the Governor's Cabinet, and Agency Heads support programs within the agencies and State Government to recognize the contributions of their employees.

The Task Force on Employee Recognition, in conjunction with the California Department of Human Resources (CalHR), [California Code of Regulations - Employee Merit Award Program \(CalHR Rules 599.655 - 599.664\)](#), Employee Recognition Programs for All part-time, seasonal, full time or retired employees in agencies/departments are eligible to participate except officers and employees of the Universities of California and California State Universities (CSU). Student assistants hired through the Hornet Foundation at CSU are not eligible. Employees designated Career Executive Assignments (CEA) or Exempt classifications are excluded from receiving a cash award per Merit Award Program Regulations 599.660 (b).

Agencies **shall** develop and implement recognition programs and are encouraged to use the available resources in helping them implement such programs. Remember, recognition programs may consist of formal recognition, informal recognition or both. After the recognition committee/task force has finalized the award program, the committee will need to confirm approval of the award program with the employees and management in their department.

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