

**Campbell County, KY  
Continuity of Operations  
Plan (COOP)**

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## Executive Summary

This document is intended to provide direction to county departments and/or municipal government when developing a continuity of operations (COOP) plan. It is designed to familiarize you with the components necessary to create a comprehensive COOP plan. In an effort to ensure the continuation of essential county functions during times of emergencies.

1. These emergency preparedness contingency plans shall be submitted to the Office of Emergency Management (OEM) by the last day of March each year in a OEM-approved format and shall address the following areas:
  - a. A departmental or agency risk assessment and vulnerability analysis;
  - b. Preparedness and mitigation activities including procedures for employees who perform pre-event activities or shut down critical operations;
  - c. Operational procedures of the departmental or agency operations center or command post;
  - d. Direction and control including authorities and responsibilities of key personnel and the chain-of-command;
  - e. Communications (primary and back-up) systems that will be used to keep employees, on-duty and off-duty, informed of departmental response activities, to coordinate employees in order to carry out departmental missions, to keep in contact with customers and suppliers, and to coordinate with the Campbell County EOC;
  - f. Life safety procedures including employee alert and notification, assembly and accountability, evacuation procedures, employee/family preparedness and welfare;
  - g. Protection of facilities, equipment, supplies, and vital records;
  - h. Recovery and restoration of services including employee support, critical asset repair/replacement, and the continuity of operations;
  - i. Operating procedures for documenting departmental or agency emergency personnel, equipment, services, and materials expenditures and for their recovery or reimbursement from appropriate local, state, and federal sources;
  - j. Public information;
  - k. Administration and logistics.

The U.S. Department of Homeland Security and the Kentucky Division of Emergency Management define continuity planning as the good business practice of ensuring the execution of essential functions through all circumstances. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternate facilities, personnel, resources, interoperable communications, and vital records/databases.

The provisions of this guideline are applicable to all Campbell County departments, authorities, and independent agencies. All office buildings and/or facilities owned, operated, or maintained by Campbell County shall develop and implement comprehensive disaster preparedness plans. Establishing a COOP planning committee is a good way to begin the process. Senior management should be represented or readily accessible since the authority for many of the decisions will need to come from upper level management. One person should be designated as the COOP Coordinator and have the overall responsibility of compiling and maintaining the plan with input from the committee. Sections may be delegated, but the COOP Coordinator should plan meetings, establish deadlines for documents, act as a liaison when necessary, and compile the necessary components of the plan.

## **References & Authorities**

- a. Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements, February 2008:  
<http://www.homelandsecurity.noaa.gov/FCD1.pdf>
- b. Continuity Guidance Circular 1, January 21, 2009:  
[http://www.fema.gov/pdf/about/org/ncp/cont\\_guidance1.pdf](http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf)

## GUIDE INSTRUCTIONS

This guide provides instructions for developing a Continuity of Operations (COOP) Plan according to *Department of Homeland Security (DHS) Headquarters Continuity of Operations (COOP) Plan Guidance Document, dated April 2004* and *Federal Continuity Directive 1, dated February 2008*.

General guidance and sample information are provided throughout this guide for reference; however, organizations are encouraged to tailor COOP Plan development to meet their own needs and requirements.

Although continuity plans will vary by county department due to differences in essential functions, resources, personnel size, etc... the sections listed in the *Core Components of the Plan* guideline, on the following page, should be included in the COOP Plan if it is to be considered compliant with County standards.

## Plan Outline

Each COOP plan will vary by county department due to differences in essential functions, resources, personnel size, etc. However, the following sections should be included in any plan:

Purpose, Scope, and Authority (*why are you developing this plan, what does it cover, and on whose authority can its functions be carried out?*)

## Core Components of Plan

Below are the components (**in the order they should appear in the plan**) that each plan must contain to be compliant with County standards. Please pay close attention to the highlighted sections as they are new or have been completely revised.

1. Plans and Procedures
  2. Mission Essential Functions
  3. Delegations of Authority
  4. Orders of Succession
  5. Devolution
  6. Staging Area
  7. Alternate Facilities
  8. Interoperable Communications
  9. Vital Records and Databases
  10. Logistics and Administration
  11. Personnel Issues and Coordination
  12. Reconstitution
  13. Testing, Training and Exercising
  14. Health Emergency
  15. Program Management
  16. Signatories
- Annex A: Acronyms  
Annex B: Risk Assessment and Vulnerability Analysis

## 1. Plans and Procedures

1a. Name/position of staff responsible for developing COOP plan:

Name: \_\_\_\_\_

Position/Title: \_\_\_\_\_

Contact number(s): \_\_\_\_\_

Each agency should develop plans or Standard Operating Procedures (SOPs) specific to overall organizational mission. Preparedness and mitigation activities including procedures for employees who perform pre-event activities or shut down critical operations should be incorporated into the plan or SOPs.

The following components should be included in the COOP plans and procedures:

- Delineation of mission essential functions
- A decision-making process based on vulnerability assessment for activation of the COOP plan due to an emergency situation (flood, fire, power outage, hurricane, loss of critical data, etc...)
- A current staff roster
- Procedures to ensure readiness during on-duty and off-duty hours as well as with and without warning of an incident
- Provisions for personnel accountability
- Reliable processes to acquire additional resources to sustain operations for 30 days
- Provisions for attaining operational capability within 12 hours of activation
- Constraints derived from the planning committee such as unique operational issues or technology, personnel factors, or resource limitations which affect the COOP plan
- Mechanisms for implementation in accordance with the magnitude of the incident

## 2. Mission Essential Functions

Identifying mission essential functions is the foundation from which all other components of the plan are developed and is often the most difficult. Essential functions are those departmental functions and activities that must be continued throughout or resumed rapidly after a disruption of normal activities. Any mission not deemed to be essential should be deferred until additional personnel and/or resources become available.



Department COOPs should include mention of their County Emergency Operations Plan (CEOP) function as a Emergency Support Function (ESF). If your department is tasked with sending a representative to the Emergency Operations Center (EOC) when it is activated, this should be identified as a CEOP.

2a. List and prioritize the mission essential functions along with its recovery time objective:

*(those functions necessary to continue to provide vital services and sustain an economic base during an emergency as well as duration of time and a service level within which a business process must be restored after a disaster (or disruption) in order to avoid unacceptable consequences associated with a break in business continuity)*

Update the table below with your department's Mission Essential Functions and Recovery Time:

**SAMPLE**

The following table shows examples of prioritized essential functions for a fictitious organization, the Bureau of Water Management:

Priority	Essential Functions	*Recovery Time Objective (RTO)
1	Administer programs to protect the region's water supply and the health of the public.	Mitigation is ongoing. Water testing is conducted immediately post-incident.
2	Ensure the protection of fish and aquatic life.	Mitigation / Preventive measures are ongoing.
3	Ensure pollution prevention and compliance assurance.	Mitigation is ongoing.
4	Provide technical support and information to assist in planning and restoration.	Within 4 hours of incident.
5	Approve and oversee cleanups of contaminated sites.	Within 4 hours of incident.
6	Plan and implement regional flood control programs.	Mitigation / Preventive measures are ongoing.
7	Department Rep to EOC in accordance with CEMP and county's disaster operations.	Within 1-2 hours of EOC activation.
<b>*Recovery Time (RTO):</b> depends on nature of the event, extent of damage and available resources at the time of the incident.		

- Roster personnel to complete those functions based on skills and knowledge.
- Assess alternate facility capacity based on functions and rosters.

2b. List required resources and equipment needed to complete these functions:

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### 3. Delegations of Authority

Delegations of Authority identify who is authorized to act on behalf of senior leadership for specified purposes and ensures that designated individuals have the legal authorities to carry out their duties. These authorities should be identified by title or position and not by the individual office holder's name.

Each agency or department should identify that those who are delegated authority are prepared to perform emergency duties. Please document which authorities can and should be delegated, to whom, under what circumstances, including when delegation becomes effective and when it terminates, and any limitations.

3a. Individual(s) delegated authority (specific which authority): \_\_\_\_\_

\_\_\_\_\_

3b. By whom: \_\_\_\_\_

\_\_\_\_\_

3c. Under what circumstances: \_\_\_\_\_

\_\_\_\_\_

3d. Limitations to authority: \_\_\_\_\_

\_\_\_\_\_

### 4. Orders of Succession

Orders of succession enable an orderly and predefined transition of leadership within an organization. Each department can utilize their existing table of organization in identifying orders of succession for department heads and other key leaders at least three positions deep. Please ensure that those identified are prepared to perform emergency duties. Direction and control including authorities and responsibilities of key personnel and the chain-of-command. Continuance of operational procedures of the departmental or agency operations center or command post.

- Orders of succession for the position of *department head* should include:
  - Conditions for succession
  - Notification method
  - Time, geographical, and organizational limitations
- Use titles or positions rather than persons.
- Establish succession for key positions at headquarters and regional locations.
- Revise and distribute orders of succession as necessary.

**SAMPLE**

The following table shows the order of succession for the Director of the Bureau of Water Management:

Successors
Director, Bureau of Water Management
Deputy Director, Bureau of Water Management
Division Head, Enforcement and Remediation Division
Division Head, Standards and Planning Division

Be sure to document the information listed below:

4a. Location of Orders of Succession: \_\_\_\_\_

4b. Name of individual(s)/position(s) with access to Orders: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

4c. Contact number(s): \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**5. Devolution**

The devolution section should address how the department will identify and conduct its essential functions in the aftermath of a worst-case scenario, one in which the leadership is incapacitated. The department should be prepared to transfer all of their essential functions and responsibilities to personnel at a different office or location.

**6. Staging Area**

Staging areas are beneficial when you must evacuate your facility during work hours. It provides a designated safe place for staff to regroup and receive instruction on what the next steps are (e.g. assign available staff to critical functions). Choose a location that is familiar to staff. *For example: across the street at the southeast end of Carter Park. Include a map if possible.*

**7. Alternate Facilities**

The COOP plan should designate an alternate operating facility with sufficient space, equipment, infrastructure systems, and logistical support to maintain operations for up

to 30 days. Physical security and personnel access control measures should be taken into account. Agencies should consider pre-positioning minimum essential equipment at the alternate facility. Consider cooperative or mutual aid agreements with other agencies and/or virtual office technologies.

Alternate facilities should provide:

- (1) Sufficient space and equipment
- (2) Capability to perform essential functions within 12 hours, up to 30 days
- (3) Reliable logistical support, services, and infrastructure systems
- (4) Consideration for health, safety, and emotional well-being of personnel
- (5) Interoperable communications
- (6) Computer equipment and software
- (7) Badge/Security Access

The information listed below should include:

7a. Name of alternate facility: \_\_\_\_\_  
Contact person: \_\_\_\_\_  
Phone Number: \_\_\_\_\_  
Alternate numbers: \_\_\_\_\_  
Complete address: \_\_\_\_\_

7b. Equipment on-site: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7c. Is the cooperative or mutual aid agreement signed: Yes\_\_\_ / No\_\_\_ / N/A\_\_\_

## 8. Interoperable Communications

Communications capabilities should provide access to other data and systems required to conduct mission essential functions. In this section, identify current and redundant critical communication systems that are used and will be located at the alternate facility. Communications (primary and back-up) systems that will be used to keep employees, on-duty and off-duty, informed of departmental response activities, to coordinate employees in order to carry out departmental missions, to keep in contact with customers and suppliers, and to coordinate with the Campbell County EOC.

Consideration should be given to the full spectrum of communication methods: landlines, cellular, satellite, wireless, etc.

Interoperable communications should provide:

- (1) Capability commensurate with an agency’s essential functions
- (2) Ability to communicate with essential personnel
- (3) Ability to communicate with other agencies, organizations, and customers
- (4) Access to data and systems
- (5) Communications systems for use in situations with and without warning
- (6) Ability to support COOP operational requirements
- (7) Ability to operate at the alternate facility within 12-hours, and for up to 30 days
- (8) Interoperability with existing field infrastructures

8a. Identify the data and communications systems needed to support mission essential functions:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

## 9. Vital Records, Databases and Equipment

The COOP plan should account for the identification and protection of vital records, databases, equipment and supplies at the primary and alternate facilities. To the extent possible, agencies should provide for off-site storage of duplicate records, off-site back up for electronic records and databases, and pre-positioning of vital records, databases and equipment at the alternate facility. Agencies should include information on how vital records will be restored and by whom. Below are the types of references that need to be incorporated into this section:

- Identify vital records, systems, electronic and hard copy data critical to organizational functions.
- Include: emergency operating plans and directives, delegations of authority, orders of succession, and staffing.
- Legal, financial, personnel, and payroll records; insurance policies, vendor contracts, etc.
- Procedures for documenting operations when the COOP plan is activated.

### SAMPLE

The following table shows sample vital files, records, and databases pertaining to COOP coordination for the Bureau of Water Management:

Vital Files, Records, Databases or Equipment	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Storage Location	Maintenance Frequency
COOP Plan	Electronic	X		X	X
Phone Roster	Hardcopy		X		X
Devolution Contact List	Hardcopy		X		X
Legal Authority List	Electronic	X		X	X
Emergency Water Resources List	Hardcopy		X		X

Be sure to include the information below:

9a. Address of off-site records storage facility: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

9b. Back-up mechanisms for vital records: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

### 10. Administration and Logistics

Agencies should determine to what level they can self-sustain their emergency operations and then develop procedures to acquire services, personnel, resources, and equipment necessary to perform mission essential functions. Mutual aid should be considered if applicable. Memorandums of understanding (MOUs) should be established with any entities that may be utilized.

- Identify, pre-position and maintain equipment/resources needed at alternate site.
- Provide for telecommunications and information technology (IT) support at alternate facility.
- Establish provisions for personnel (parking, dining facilities, etc.) at alternate site.
- Develop and maintain site-support procedures that clearly state the process and responsibility for receiving, supporting, and relocating personnel and equipment at the alternate site.

10a. Name(s)/position(s) of site-support staff: \_\_\_\_\_  
 \_\_\_\_\_  
 Contact number(s): \_\_\_\_\_

10b. Name of IT support personnel/company: \_\_\_\_\_

Contact number(s): \_\_\_\_\_

## 11. Personnel Issues and Coordination

Life safety procedures including employee alert and notification, assembly and accountability, evacuation procedures, employee/family preparedness and welfare.

- Develop a communications plan to disseminate information to department essential and EOC essential personnel that includes their DAE (Disaster Assistance Employees) assignments. (*All County employees are essential personnel*)
- Address the health, safety, and emotional well being of employees and their families.
- Assure personal preparedness for staff through training and education; encourage staff to develop personal preparedness plans and kits for themselves and their families.
- Address pay status, leave time, and potential lay-offs, recommendation for direct deposit of payroll checks.
- Address medical, special needs (alternate site should be accessible) and travel issues of staff.

11a. Name(s)/position(s) of staff responsible for maintaining communications plan:

\_\_\_\_\_  
\_\_\_\_\_

Contact number(s): \_\_\_\_\_

11b. Name(s)/position(s) of staff responsible for employee preparedness training:

\_\_\_\_\_  
\_\_\_\_\_

Contact number(s): \_\_\_\_\_

## 12. Reconstitution

The section should explain the procedures for returning to normal operations – a time phased approach may be most appropriate. This section may include procedures for returning to the primary facility, if available, or procedures for acquiring a new facility through General Services Administration (GSA). Notification procedures for all employees returning to work must also be addressed. An After Action Assessment

should be conducted in order to determine the effectiveness of COOP plans and procedures and lessons learned.

### **13. Testing, Training, and Exercising**

Agencies should consider developing a comprehensive testing, training, and exercise program to evaluate policies and procedures, ensure that personnel are properly trained, and verify that resources and equipment are capable of supporting operations. Each element of the COOP plan should be evaluated through exercises and a procedure established to remedy any deficiencies in the plans.

At a minimum, agencies should:

13a. Develop exercise program and schedule:

- Conduct orientation and training for COOP planning committee members
- Exercise operational plans, alternate facilities, and interoperable communications; plan joint agency exercises
- Develop a schedule to evaluate and test equipment
- Develop a remedial action plan with timelines for completion of assigned tasks

13b. Update notification checklists and rosters regularly:

- Periodically test alert and notification procedures; update rosters and notification checklists
- Update plans and procedures as necessary or on an annual basis

### **14. Health Emergency**

This section should address the department's plan to respond effectively and efficiently to ensure that essential operations are maintained during a health emergency affecting 30% or more of department staff. Some departments may implement their health emergency plan prior to the 30% level should absenteeism reach a level that would impair the ability to continue their department's mission essential functions (MEF).

A separate template is attached. This plan should be included as an annex to this plan.

### **15. Program Management**

Agencies should prepare a strategic, long-range planning process that includes anticipated funding requirements. The plan should define organizational vision, mission statement, goals and objectives of the program. The plan should identify a current inventory of internal and external resources, resource shortfalls (including steps to overcome those shortfalls), and operation and maintenance costs. Costs should include program dollars as well as labor costs. Additionally, the plan should reflect any



new equipment that the department is in the process of acquiring through grant funding sources.

- Develop a coordinated program management process to ensure maintenance, operation, and funding for a viable COOP capability.
- Update the plan as necessary.

## 16. Signatories

This Continuity of Operations Plan (COOP) has been reviewed by department leadership and has been approved for submittal to the Office of Emergency Management (OEM) for annual compliance review.

\_\_\_\_\_  
Name of Department Leadership:

\_\_\_\_\_  
Title of Department Leadership:

\_\_\_\_\_  
Signature of Department Leadership:

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

## Plan Security

While a COOP plan is not considered a classified document, it does contain sensitive information and its handling and distribution should be controlled and limited, both electronically and in hard copy. Agencies should consider using **Chapter No. 2001-361, FL Law (formerly Senate Bill 16-C)** to provide a public records exemption for their plans.

- Address physical security of current and alternate facilities.
- Address communications security.
- Enact personnel access controls for employees and customers.
- Be prepared to augment all levels of security (physical, operational, cyber, and access) based upon the emergency or threat.

## Contact:

Department COOP Coordinators must contact Scott Schwarberg at the Office of Emergency Management once selected by their department director. Any questions or concerns regarding the COOP process should be directed to:

Scott Schwarberg  
Campbell County Office of Emergency Management  
Phone: 859-5473152  
[sschwarberg@campbellcountky.org](mailto:sschwarberg@campbellcountky.org)

**ANNEX A: ACRONYMS**

<b>CGC</b>	Continuity Guidance Circular
<b>COOP</b>	Continuity of Operations Plan
<b>DA</b>	Delegation of Authority
<b>DAE</b>	Disaster Assistance Employee
<b>DHS</b>	Department of Homeland Security
<b>EOC</b>	Emergency Operations Center
<b>ETSD</b>	Enterprise Technology Services Department
<b>FCD</b>	Federal Continuity Directive
<b>FPC</b>	Federal Preparedness Circular
<b>FS</b>	Florida Statutes
<b>GSA</b>	General Services Administration
<b>HQ</b>	Headquarters
<b>HSPD</b>	Homeland Security Presidential Directive
<b>IT</b>	Information Technology
<b>MEF</b>	Mission Essential Functions
<b>MOU</b>	Memorandum of Understanding
<b>OEM</b>	Office of Emergency Management
<b>POC</b>	Point of Contact
<b>RTO</b>	Recovery Time Objective
<b>SOP</b>	Standard Operating Procedures
<b>TT&amp;E</b>	Test, Training, and Exercise

**ANNEX B: RISK ASSESSMENT AND VULNERABILITY ANALYSIS**

*Insert Excel spreadsheet as Annex B to the COOP document*