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|  | **2019** |
|  | Kentucky Emergency ManagementPlanning Branch  |

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**Continuity of Operations**

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# Executive Summary

The Commonwealth of Kentucky’s emergency management mission is to be prepared, to the greatest extent possible, to respond to all-hazard disasters and events. KYEM has become increasingly aware of events that could interrupt or potentially destroy its ability to effectively perform essential functions. As a Commonwealth, it is our responsibility to be prepared for unexpected events. KYEM determined that each ESF primary partner should develop and maintain a COOP Plan. COOP planning is designed to develop and maintain a program that preserves, maintains, and reconstitutes the Commonwealth’s ability to function effectively in real or potential events.

This COOP includes a concept of operations which details three distinct phases of a COOP event. Phase I is the recognition of a COOP event and the activation of this plan. This activation may include relocation of staff and resources to accomplish those tasks determined to be mission essential. Phase II of the COOP Plan provides for the ongoing provision of mission essential functions until the COOP event is complete. The third and final phase, Phase III, is the reconstitution phase that allows the agency to return to normal operations in a systematic manner. Each phase in the plan is supported through a rigorous and detailed analysis of the operational requirements to execute that phase. The COOP plan also includes supporting appendices that provide operational checklists, decision matrices, and alternate facility details.

These COOP plans ensure the continuation of the mission essential functions and the ability to keep the Commonwealth emergency management program functional at all times. The objectives of these plans are to allow the Commonwealth to provide life and property-saving services by reducing disruption of operations; protecting essential equipment, records, and other assets; minimizing damage; providing organizational and operational stability; facilitating decision making during an emergency; and achieving an orderly recovery. While there many other important functions that KYEM performs, this plan only covers those that are mission and time critical.

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# Introduction

Kentucky Emergency Management (KYEM) has grown increasingly aware of how all types of events can disrupt Commonwealth government agency operations and jeopardize the safety of personnel and partners.  Emergency planning, including Continuity of Operations (COOP) planning, has become a necessary and required process for the entirety of the Commonwealth emergency management program.

The all-hazards approach to COOP planning ensures that regardless of the event, mission essential functions and services will continue to operate and be provided in some capacity.  This approach includes preparing for natural, man-made, and technological emergencies.

KYEM is committed to the safety and protection of its personnel, partners, and visitors. This plan was written in coordination with KYEM for [ ESF Partner ] and provides the agency a framework that is designed to minimize potential impact during an event.

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# Purpose, Scope, and Functions

## Purpose

The Commonwealth emergency management program provides critical services to the citizens of Kentucky to protect lives and property from all hazards, as well as to facilitate rapid recovery from all disasters. To accomplish this mission, KYEM ESF partners must ensure operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on the Commonwealth’s missions, personnel, and facilities.

The overall purpose of COOP planning is to ensure the continuity of the Commonwealth’s Primary Mission Essential Functions (PMEFs) and identified essential functions under all conditions. The current changing threat environment and recent emergencies, including acts of nature, accidents, and technological emergencies have increased the need for viable continuity of operations capabilities and plans that enable agencies to continue their essential functions across a spectrum of emergencies. These conditions have increased the importance of having continuity programs that ensure continuity of essential government functions.

## Scope

This plan applies to all respective agency personnel in all sections where essential functions are conducted.  It also applies to the array of events and hazards that could threaten the Commonwealth emergency management program and its performance of mission essential function.

This plan covers all essential systems, communications, positions and areas occupied by this agency. The plan supports the performance of MEFs from continuity facilities due to the primary facility becoming unusable, for a period that exceeds established Recovery Time Objectives, and also provides for continuity of management and decision-making, in the event that senior leadership or technical personnel are unavailable.

Events and hazards referenced in this plan include natural events, and intentional and non-intentional man-made events that could adversely affect the ability of the agency and the Commonwealth to perform its essential functions. Natural hazards are those where the occurrence is beyond control, including earthquakes, floods, severe weather, and pandemics. Intentional man-made hazards are also beyond direct control and could include events such as external sabotage, and terrorism. Non-intentional man-made events, such as power outages, fires, explosions, equipment failures, or human errors may not be within the control of the agency or the Commonwealth. Any of these events could lead to loss of physical space, reduction in workforce, or loss of critical support services leading to the partial or complete activation of the COOP plan.

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

## Functions

This agencies continuity functions are listed below:

* Ensure this agency can perform its MEFs and identified essential function, if applicable, under all conditions
* Reduce the loss of life and minimize property damage and loss
* Execute a successful order of succession with accompanying authorities in the event a disruption renders that organization’s leadership unavailable, unable, or incapable of assuming and performing their authorities and responsibilities of office
* Reduce or mitigate disruptions to operations
* Ensure that the agency has facilities where it can continue to perform its MEFs and identified essential functions, as appropriate, during a COOP event
* Protect essential facilities, equipment, records, and other assets, in the event of a disruption
* Achieve a timely and orderly recovery and reconstitution from an event
* Ensure and validate continuity readiness through a dynamic and integrated continuity testing, training, and exercises (TT&E) program and operational capability testing

# Authority

* Federal Continuity Directive 1 (FCD 1), February, 2008
* Federal Continuity Directive 2 (FCD 2), February, 2008
* Presidential Executive Order 11795
* Presidential Homeland Security Directives 1 through 12
* Governor of Kentucky Executive Orders 96-1120 and 2004-1314
* Public Law 81-920, 88-352, 91-190, 91-606, 91-616, 91-646, 92-255, 92-385, 93-234, 93-288, 93-523, 94-68, 96-511, 99-499, 100-707, 101-121, 107-296
* Homeland Security Act of 2002
* Kentucky Revised Statutes Chapter 39A through 39G
* The Atomic Energy Act of 1954, (PL 83-703 as amended)
* The Robert T. Stafford Disaster and Emergency Relief Act of 1966 (PL 89-769), and all amendments to date
* Flood Disaster Protection Act of 1973 (PL 93-234)
* Earthquake Hazards Reduction Act (PL 95-124)
* The Superfund Amendment and Reauthorization Act of 1986, Title III (SARA) (42 CFR Chapter 116)
* National Flood Insurance Reform Act (PL 103-325)
* Disaster Mitigation Act of 2000 (PL 106-390)
* National Incident Management System (NIMS)
* National Response Framework (NRF)
* Executive Order 11795, Delegating Disaster Relief Functions Pursuant to the Disaster Relief Act of 1974
* Executive Order 11988, Flood Plain Management
* Executive Order 11990, Protection of Wetlands
* Executive Order 12656, Assignment of Emergency Preparedness Responsibilities
* Presidential Directive Decisions 39 & 62; both relating to Anti-Terrorism Responses of the Federal Government

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# Hazards (Annex E-1)

## E-1. THIRA/HIRA for Division

As a part of the modernization of the 2010 Kentucky Emergency Operations Plan (KY EOP), Kentucky Emergency Management (KYEM) decided to conduct a review of the Threats and Hazards as outlined in Kentucky Revised Statue 39A.010, with the goal of synchronizing the Kentucky Revised Statue (KRS) hazards with the current State Hazard Mitigation Plan.

During this process, the Department of Homeland Security published its Threat and Hazard Identification and Risk Assessment (THIRA), which provided a new system that focused on the ability of the Commonwealth to implement the core capabilities of the National Goals when challenged with worst-case scenarios.

Using this guidance and process, KYEM began the reduction of its planning hazards from forty-two (42) in the KRS, to fourteen (14) in the State Hazard Mitigation Plan, to eight (8) in the THIRA, to the seven (7) in the KY EOP. The transition of 42 to 14 hazards was accomplished by combining like hazards, with the final seven hazards being chosen based on hazards that KYEM has direct, historical experience with or hazards that KYEM has developed plans and exercised those plans. The intent was to ensure that there was a reasonable mix of natural hazard types as well as Kentucky’s primary technical hazard of chemical stockpiled weapons as addressed in the Chemical Stockpile Emergency Preparedness Program (CSEPP) administered by the Federal Emergency Management Agency (FEMA). The intent is to baseline our planning processes with this set of hazards, then update, and refine the list using the 2013 Hazard Mitigation Plan update process.

For CY 2017, in determining the Commonwealth’s THIRA, KYEM prepared the Hazard portion while the Kentucky Office of Homeland Security (KOHS) was responsible for the Threat portion. Due to this separation of duties, for Training Year (TY) 2017, only six (6) hazards are addressed. In TY 2018, KYEM and KOHS will jointly conduct a THIRA addressing cyber-terrorism as the seventh threat for use in TY 2019. Cyber-terrorism is not addressed in the TY 2013 programs and plans. However, KYEM acknowledged the THIRA requirements and cyber-terrorism, plus the additional threat of crime, which will be addressed in TY 2014, the 2013 Hazard Mitigation Plan, the KY EOP, and the THIRA process.

For detailed analysis of the top 14 hazards, refer to the 2013 State Hazard Mitigation Plan update. For response procedures and planning guidance for TY 2017’s six hazards, refer to the KY EOP and the 2013 State Hazard Mitigation Plan update.

See the chart below for how KYEM migrated from the 42 KRS hazards, to 14 in the 2013 State Hazard Mitigation Plan, to eight in the State THIRA, to seven in the KY EOP, and six in TY 2017.

For detailed analysis of the top 13 hazards, refer to the State Hazard Mitigation Plan. For response procedures and planning guidance for TY 2017’s six hazards, refer to the KY EOP.

See the chart below for how we migrated from the 42 KRS hazards, to 13 in the State Hazard Mitigation Plan, to eight in the State THIRA, to six in the KY EOP and in TY 2017.

### Table 1: Annex E-1 Hazard Matrix

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **KRS 39A.010 Hazards** | **2018 State Hazard Mitigation Plan** | **THIRA 2017** | **KYEOP 2014** | **TY 2017** | **Response Plan Title** | **Lead Agency** |
| 1 | Flood | Flood | Flood- Urban | Flood | **Flood** | Commonwealth Catastrophic Flood Plan - TBD | KYEM |
| 2 | Flash Flood | Dam Failure |
| 3 | Blizzard | Severe Winter Storm | Ice Storm | Severe Weather | **Severe Weather** | Commonwealth Severe Weather Plan - TBD | KYEM |
| 4 | Ice Storm |
| 5 | Snow Storm |
| 6 | Tornado | Severe Storm | Tornado - Urban |
| 7 | Wind Storm |
| 8 | Hail Storm | Hail Storm |
| 9 | Drought | Drought |
| 10 | Extremes Of Temperature | Extreme Heat |
| 11 | Earthquake | Earthquake | New Madrid Seismic Zone | Earthquake | **Earthquake** | KYEM OPLAN 11-001 Draft (NMSZ) v9, 15 Aug 2011 | KYEM |
| Land Subsidence |
| Karsts |
| 12 | Landslides | Landslides |
| 13 | Fire | Wildfire | Wildfire | Natural | **Natural** | Wildfire Contingency Plan(published by season) | Kentucky Division of Forestry |
| 14 | Forest Fire |
| 15 | Conflagrations |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **2018 State Hazard Mitigation Plan** | **THIRA 2017** | **KYEOP 2014** | **TY 2017** | **Response Plan Title** | **Lead Agency** |
| 16 | Enemy Attack | Manmade | CYBER Attack and the CSEPP Program were selected as representative incidents of this grouping of hazards. | Manmade | **Man-Made** | KYEM OPLAN 11-002, v1(Blue Grass Army Depot Response Plan)  | KYEM |
| 17 | Nuclear Weapons |
| 18 | Chemical Weapons |
| 19 | Biological Agents |
| 20 | Sabotage |
| 21 | Riot |
| 22 | Civil Disorder |
| 23 | Terrorism |
| 24 | National Security Emergencies |
| 25 | Explosions |
| 26 | Power Failure |
| 27 | Energy Shortages |
| 28 | Major Utility System Failure |
| 29 | Dam Failure |
| 30 | Building Collapse |
| 31 | Infrastructure Failure |
| 32 | Transportation Related Failures |
| 33 | Mass Fatality |
| 34 | Mass Casualty |
| 35 | Industrial |
| 36 | Agricultural |
| 37 | HAZMAT | CSEPP |  |  |
| 38 | Technological Emergencies | CYBER Attack | CYBER Attack | **CAP ANALYSIS REQUIRED** | **KOHS** |
| 39 | Biological | Natural | PANDEMIC | Health Emergency | **Health Emergency** | Kentucky Pandemic Preparedness Plan, 2007 | DPH |
| 40 | Etiological |
| 41 | Radiological |
| 42 | Environmental |

# Situation and Assumptions

## Operational Priorities

Irrelevant to the type of threat, hazard, incident, or event, there has to be a prioritization of response, recovery, and emergency operations. This priority is based on the belief that human life is the primary priority, followed by our wellbeing and safety, then that of the environment. Therefore, the Operational Priorities listed will be used to guide all response and recovery efforts.

1. Life
2. Safety
3. Health
4. Property Protection
5. Environmental Protection
6. Restoration of Essential Services
7. Restoration of Essential Functions
8. Coordination Among all Levels of Government

## Risk Analysis and Vulnerability Assessment

### Risk Analysis

A risk analysis was conducted to collect and evaluate information on risks and hazards that may directly or indirectly impact the Commonwealth’s emergency operations at the state EOC thereby directly impacting the delivery of Primary Mission Essential Functions. The purpose of the risk analysis is to develop a list of hazards that are of such significance that they are reasonably likely to cause devastating harm to Kentucky’s emergency management program and/or interrupt its operations, if they are not effectively controlled. The objective of this analysis is to identify vulnerabilities in operations and take steps to mitigate losses and/or develop recovery strategies.

### Vulnerability Assessment

A vulnerability assessment was used to survey or scan the environment for possible risks identified above and translate that environment into a set of risk scenarios. As a result of this assessment the following scenarios have been developed and weighted against the existing facility and continuity facilities:

* Local facility disruptions
* Access to BNGC may be restricted or eliminated
* Region-wide disruptions affecting all or many government buildings in the region
* Disruption of a communications system
* Disruption of access to vital records or databases
* Disruption to availability of specialized equipment or systems, including computing systems (other than traditional communications systems)
* Loss of services from a vendor or another government agency
* Unavailability of personnel

## Essential Functions and Continuity Support

### Identification of Essential Functions

This agency completed the process of identifying those functions and activities that must continue under any and all circumstances. MEFs are a limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. This agency identified functions that are considered Mission Essential Functions (MEFs) and identified all essential resources necessary to support these MEFs.

These functions can be found in Annex A.

## Vital Records Identification

“Vital records” refers to information systems and applications, electronic and hardcopy documents, references, and records, to include classified or sensitive data, needed to support MEFs and identified essential functions during a COOP event. This agency has incorporated its vital records program into the overall continuity program, plans, and procedures. This agency identified and prioritized this agency’s vital records, the form the primary document is in, storage locations, and methods for safeguarding those records. A table detailing these items can be found in Annex B.

The Commonwealth’s official vital records program:

* Identifies and protects those records that specify how Kentucky emergency management partners will operate in an emergency or disaster
* Identifies those records necessary to the Commonwealth’s continuing operations
* Identifies those records needed to protect the legal and financial rights of the Government and citizens

As soon as possible after activation of the COOP Plan, but in all cases within 12 hours of activation, continuity personnel at the continuity facility must have access to the appropriate media for accessing vital records, including:

* A local area network
* Electronic versions of vital records
* Supporting information systems and data
* Internal and external e-mail and e-mail archives
* Hard copies of vital records

## Continuity Communications

KYEM and it’s emergency management partners has identified available and redundant critical communication systems that are located at or can be transported to the assigned continuity facility. Further, the Commonwealth’s emergency management program maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic and other related emergencies, and given full consideration to supporting social distancing operations including tele-work and other virtual offices. These systems provide the ability to communicate within and outside the organization.

This agency’s essential communication systems have been identified in Annex A per each MEF.

## Assumptions

This COOP Plan is based on the following assumptions.

* A major emergency or COOP event could happen at any time
* Emergencies or threatened emergencies may adversely affect the Commonwealth emergency management program’s ability to continue to support essential ESF internal operations and to provide services to clients or support to external agencies. The effect to the continued delivery of services can include loss of physical space, reduction or loss of personnel, or loss of internal or external support services
* Personnel and other resources of the ESF partners and other organizations outside the area affected by the emergency or threat will be made available, if required, to continue essential operations
* Mobile communications capabilities will be used in the interim to ensure direction and control of the COOP activation and relocation until interoperable communications can be established at the alternate site
* An emergency condition may require immediate activation of the COOP Plan and the relocation of select personnel to a designated alternate site
* The ESF partner’s COOP plans will work in concert with Kentucky’s Emergency Operations Plan (KY EOP)
* Backup of electronic data and electronic vital records are performed on a recurring schedule maintained by the KYNG J6 and COT

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# Logistics Support and Resource Requirements Necessary to Implement Plan

## Continuity Facilities

Several facilities, that could support the continuation of essential services following COOP activation, were evaluated. Risk assessments were conducted on the continuity facilities to eliminate those with high vulnerability. Facilities were further evaluated for physical space, reliable infrastructure, adequate communications capability, and to ensure the safety, health and security of personnel. As a result of this process, alternate locations were by each ESF. The facilities for agency of this plan are listed in Annex A.

 The annual review of the COOP plan will include a review of the continuity facilities to ensure that the facilities still meet the current needs.

### Continuity Facilities Identification

This agency has designated continuity facilities as part of its COOP plan and has prepared continuity personnel for the possibility of unannounced relocation to these sites to continue essential functions.

This agency’s continuity facilities provide the following at sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

* Sufficient space and equipment, including computer equipment and software either on site or transportable from the primary facility
* Capability to perform mission essential functions within 12 hours of plan activation or an event, respectively, for up to 30 days or until normal operations can be resumed
* Reliable logistical support, services, and infrastructure systems
* Consideration for health, safety, security, and emotional well-being of personnel
* Interoperable communications for effective interaction
* Capabilities to access and use vital records
* Systems and configurations that are used in daily activities
* Emergency/back-up power capability

This agencies identified alternate locations can be located in Annex A under each MEF listed.

## Continuity Communications

Each ESF partner has identified available and redundant critical communication systems that are located at the continuity facility. Each partner maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including tele-work and other virtual offices. These systems provide the ability to communicate within and outside the organization.

This agency’s critical communication systems are listed in ANNEX A.

# Concept of Operations

## Human Capital

### Essential Personnel

People are critical to the operations of any organization. Choosing the right people for an organization’s staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and maintain focus. During a continuity event, key staff and other special categories of ESF partner employees will be activated by their respective organization to perform assigned response duties. One of these categories is continuity personnel consisting of key staff and selected employees.

In respect to these continuity personnel, this agency:

* Identified and designated those positions judged to be critical to organization operations in any given emergency situation as continuity personnel.
* Identified and documented its continuity personnel. These personnel possess the skill sets necessary to perform essential functions and supporting tasks.
* Officially informed all continuity personnel of their roles or designations to ensure that continuity personnel know and accept their roles and responsibilities.
* Ensured continuity personnel participate in their organization’s continuity TT&E program, as reflected in the agency’s training records.
* Provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event using training and preparedness information provided by the American Red Cross and the Federal Emergency Management Agency. Copies of this guidance are available on the American Red Cross website at <http://www.redcross.org> and at <http://www.ready.gov/> for the Federal Emergency Management Agency.

### All Staff

It is important that this agency’s management keeps staff informed and accounted for during a continuity event, especially individuals not identified as continuity personnel. This agency has established procedures for contacting and accounting for employees, including operating status, in the event of an emergency.

* Employees are expected to remain in contact with managers and supervisors during any closure or relocation situation. Employees can contact their supervisors directly by telephone; monitor e-mail, and use smart phone communications.
* To continue essential functions during an emergency, this agency ensures staff is aware of, and familiar, with human capital guidance. This agency uses the following methods to increase awareness:
* Employee orientation briefings
* Training
* Exercises

An event that requires the activation of the COOP plan may personally affectstaff. Therefore, this agency has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster.

### Human Capital Considerations

This agency’s continuity program, plans, and procedures incorporate existing agency-specific guidance and direction for human capital management, including guidance on pay, leave, benefits, tele-work, hiring, authorities, flexibilities, and work scheduling.

## Operations

This COOP plan is maintained at a high level of preparedness and is ready to be implemented without significant prior warning. The plan should be implemented fully no later than 12 hours after activation and provide guidance to sustain operations for up to 30 days. The broad objective of this COOP plan is to provide for the safety and well-being of this agency’s employees. In addition, this plan facilitates the execution of this agency’s essential functions during any crisis or emergency in which BNGC is threatened or not accessible.

Any event that may affect the ability of this agency to perform its essential functions from the SEOC may require the partial or complete activation of this plan. There are three types of continuity events that can trigger a partial or complete activation of this COOP plan based on the Risk Analysis and Vulnerability Assessment:

* Loss of access to the facility such as a structure fire, power-outage, or area-wide disaster
* Loss of services due to a reduced workforce such as in a pandemic situation
* Loss of services due to internal or external equipment or systems failure such as in an information technology failure

Specifically for the hazards identified in the KY EOP, the table below indicates which hazards could cause this agency to relocate.

## Table 2: Hazard vs. Relocation Matrix

|  |  |
| --- | --- |
| **Hazard** | **Cause SEOC Relocation?** |
| Flood | No |
| Severe Storm | No |
| Health Emergency | No |
| Natural Hazard | Possible |
| Man-made hazard | Likely |
| Earthquake | Possible |
| Cyber-Terrorism | Possible |

 Possible: < 50%; Likely > 50 %

## Phase I: Activation and Relocation

COOP plan activation and relocation are scenario-driven processes that allow 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. COOP plan activation is not required for all emergencies and disruptive situations, since other actions may be deemed appropriate. The decision to activate thisCOOPplan 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.

The activation and relocation phase includes the following activities:

* The occurrence of an event or the threat of an event
* Review, analysis, and decision to activate the COOP plan
* Alert and notification of personnel
* Relocation to continuity facilities, if necessary
* An accountability analysis of continuity of operations personnel
* Identification of available leadership
* Determination of and reporting of operational capabilities
* Notify the Commonwealth’s Alternate 24-hour Warning Point and temporarily transfer authority to said Alternate 24-hour Warning Point

### Decision Process

Based on the type and severity of the situation, this COOP plan may be activated by the head of this agency or her/his designee. This individual may initiate COOP plan activation for the entire agency, based on an emergency or threat directed at the organization

Responsible parties may use the matrix below to assist in the decision to activate the COOP Plan.

### Table 3: Decision Matrix

|  |  |
| --- | --- |
| Duty Hours | Non-Duty Hours |
| * Assess situation and impact on personnel, facility, and MEF
* Determine the status of the primary facility for continued access/use
* Implement COOP plan if impact on personnel, facility, and/or delivery of MEFs is compromised
 | * Gather intelligence and assess the situation
* Determine the impact of the event on the primary facility for continued access/use
* Assess the impact on personnel and the delivery of MEF
* Implement COOP Plan if impact on personnel, facility, and/or delivery of MEFs is compromised
 |

As the decision authority, the head of this agency will be kept informed of the threat environment using all available means, including official government intelligence reports, national/local reporting channels, and news media. The head of this agency will evaluate all available information relating to:

* Direction and guidance from higher authorities
* The health and safety of personnel
* The ability to execute MEFs
* Changes in readiness or advisory levels
* Intelligence reports
* The potential or actual effects on communication systems, information systems, office facilities, and other vital equipment
* The expected duration of the emergency situation

### Activation Procedures During Working/Duty Hours.

Depending upon the situation, activation tasks and actions during duty hours may include:

* Activate occupant emergency plans, if applicable
* Assess the impact on the agency facilities, staff offices, personnel, alternate locations, and the state EOC
* Notify agency management and KYEM if primary facilities or occupied staff offices are deemed unusable and mission essential functions cannot be supported at the existing facility
* Activate and deploy available staff to an assembly area or an available continuity facility
* Notification of all agency personnel of the activation of the COOP plan and providing additional guidance
* Taking appropriate measures to ensure security of the facilities and equipment or records remaining in the vacated building by designated security personnel

Figure 1: COOP Activation Decision Chart – Duty Hours



Activation Procedures During Non-Duty Hours

Depending upon the situation, activation tasks and actions during non-duty hours may include:

* Notification to agency management and KYEM that an emergency requiring COOP plan activation is anticipated or underway
* An assessment of impacts on the facilities, staff offices, personnel and the ability to continue performing mission essential functions
* If the situation is confirmed or area is considered unusable or damaged, activate the COOP plan
* If the facilities and staff offices are deemed unusable, agency management is notified, followed by the staff, then KYEM and the process of relocating to a continuity facility begins
* Available agency personnel are activated and deployed to an assembly area, or the continuity location as appropriate
* Personnel who do not have COOP responsibilities are notified and provided with further guidance concerning this event

## Figure 2: COOP Activation Decision Chart – Non-Duty Hours



### Alert and Notification Procedures

This agency maintains plans and procedures for communicating and coordinating activities with personnel before, during, and after a continuity event.

In the event normal operations are interrupted or if an incident appears imminent, the agency heads will determine whether or not to activate this plan.

Upon the decision to activate this plan, this agency will notify all personnel, as well as affected and interdependent agencies with information regarding continuity activation and relocation status, operational and communication status, and the anticipated duration of relocation. These entities include:

* COOP facilities and on-site support teams will be given information regarding continuity activation and relocation status and the anticipated duration of relocation
* All employees, both continuity personnel and non-deployed personnel, will be given instructions and guidance regarding the continuity activation and relocation
* Division of Kentucky Emergency Management

**Relocation Process**

Once this plan is activated and personnel notified, if primary facilities are determined not useable per the initial assessment, this agency will move personnel and vital records to a designated continuity facility. Once this takes place, agency personnel report to this continuity location to execute emergency support activities (ESAs) and mission essential functions (MEFs).

Emergency procedures during duty hours, with or without a warning, are as follows:

* Continuity personnel will depart to the designated continuity facility from the primary operating facility using their privately owned vehicles (POV)
* Agency vehicles will be used for transportation of vital records and equipment
* Individuals who are not continuity personnel present at the primary operating facility at the time of an emergency notification will receive instructions from their supervisors and management
* At the time of notification, information will be provided on routes to use during departure from the primary operating facility, if available, or other appropriate safety precautions

Emergency procedures during non-duty hours with or without a warning are as follows:

* Continuity personnel will depart to their assigned continuity facility from their current location using their POV
* Individuals who are not continuity personnel will remain at their residence to wait for further instructions from supervisors or management

Personnel not identified as continuity personnel may be required to replace or augment the identified continuity personnel during activation. These activities will be coordinated by the agency with the staff on a case-by-case basis. Individuals who are not identified as continuity personnel will remain available to replace or augment continuity members, as required.

## Direction and Control

### Lines of Succession

Pre-identifying lines of succession is critical to ensuring effective leadership during an emergency.

Agency lines of succession should be:

* At least three positions deep, where possible, ensuring sufficient depth of the agency’s ability to manage and direct its essential functions and operations.
* Geographically dispersed, where feasible
* Described by positions or titles, rather than by names of individuals holding those offices
* Based on identified essential functions

In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision making authority.

When a succession occurs, formal notification is made to the agency.

Successions will revert to the previous appointments should the leadership return with the capability to make decisions for the agency.

Lines of succession for this agency have been identified for each essential position for each MEF and can be found in Annex A.

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## Phase II: Continuity Operations

Upon activation of the COOP plan, the agency will continue to perform MEFs at the primary operating facility until agency leadership directs personnel that this plan is activated. At that time, MEFs will transfer to the assigned continuity facility. It is the overarching goal of the Kentucky emergency management program that all ESFs will be able to perform identified MEFs within 12 hours of the event and other identified essential functions within 12 hours of plan activation.

Upon arrival at the continuity facility, KYEM continuity personnel will:

* Report immediately for check-in and in-processing
* Receive all applicable instructions and equipment
* Report to their respective workspace as identified or as otherwise notified during the activation process and check-in process
* Retrieve pre-positioned information and activate specialized systems or equipment, if on site
* Establish communications via identified essential communication systems.
* Activate computer systems, establish links to critical systems
* Provide for safety and security of the facility

Other Continuity may activities include:

* Establish GIS and other mapping systems
* Establish administration and financial support systems
* Monitor the status of the KYEM’spersonnel and resources
* Continue KYEM’s MEFs
* Prepare and disseminate instructions and reports, as required

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## Phase III: Reconstitution

The process of moving from the relocation site to the old or new home site is generally the same as that of moving to the relocation site, in that its objective is to continue essential operations during the transition, to have a smooth handoff from the relocation site to the old or new home site, and to make the move as safely and cost-effectively as possible.

The objectives of reconstitution are:

* Develop an executable plan for transitioning back to efficient normal operations status from COOP status, once a threat or disruption has passed
* Coordinate and preplan options for organization reconstitution regardless of the level of disruption that originally prompted the agency to implement its COOP plan
* These options include moving operations from the continuity facility to either the original operating facility or, if necessary, to a new operating facility
* Outline the necessary procedures to conduct a smooth transition from the relocation site to either the original facility or a new facility

### Implementation

Reconstitution procedures will commence when the Director or other authorized person ascertains that the emergency situation has ended and is unlikely to recur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of this COOP plan. Once the appropriate agency authority has made this determination, in coordination with other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

* Continue to operate from the continuity facility
* Reconstitute the agency’s personnel to the original operating facility and begin an orderly return
* Begin to establish a reconstituted agency in a new facility in the area or at another designated location

## Figure 3: Reconstitution Flow Chart

No

Yes

Perform MEFs at alternate facility until original facility is available

Perform MEFs at alternate facility

Identify suitable long-term alternate facility

Full Operations in a Long Term Alternate Facility initiated within 30 days

Secure continuity facility and resume normal operations.

Continuity event terminated.

Can the primary facility be re-occupied?

Conduct orderly transfer of operations to the original facility.

Conduct orderly transfer of operations to the new facility.

### Relocation to the Original Facility

Prior to relocating back to the original facility, agency leadership will ensure that appropriate security, safety, and health assessments are conducted to determine building suitability. In addition, verification that all critical systems, communications, and other required capabilities are available and fully operational so that the agency is fully capable of accomplishing all essential functions at the original facility.

The agency will notify all staff that the emergency or threat of emergency has passed and transmit the actions required of personnel during the relocation process using telephone, cell phone, e-mail, or other available notification systems.

Agency leadership will begin supervising a return of continuity personnel, equipment, and documents to the original operating facility. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan as outlined below:

* IT and Communications
* Identified Essential Functions
* Staff offices

The agency will continue to operate at the continuity facility until personnel, equipment, and documents are in place at the original facility. Agency leadership will order the continuity facility to cease operations and close the continuity facility. After the move to the original facility is complete, notifications will be made to all affected and interdependent agencies with information regarding operational and communication status.

### Relocation to a New Facility

Should it be determined that relocation to the original facility is not feasible, the agency will continue to operate at the continuity facility until a suitable facility is found. The agency will develop space and facility requirements including security, health, access, communications, and computer support requirements. This information will be used to evaluate each facility.

Upon verification that the required capabilities are available and operational at the new site, agency leadership will begin supervising a transfer of personnel, equipment, and documents to the new location. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan as outlined below:

* IT and Communications
* Identified Essential Functions
* Staff offices

The agency will continue to operate at the continuity facility until all personnel, equipment, and documents are in place at the new facility, at which time, agency leadership will order the continuity facility to cease operations and will close the continuity facility. Once the move to the new facility is complete, notifications will be made to all affected and interdependent agencies with information regarding operational and communication status.

## Multi-Year Strategy and Program Management

The agency leadership is responsible for the implementation of the agency COOP program. While the COOP plan serves as the guide during activation and recovery, the COOP program provides the framework and structure to guide continuity of operations planning.

Suggested roles and responsibilities of agency management include:

* Maintaining documents that grant authority for the creation, modification, ongoing maintenance, and execution of the COOP Plan
* Identifying issues that will impact the frequency of changes required to the COOP Plan
* Establishing a review cycle
* Establishing a testing and exercise cycle
* Guiding and prioritizing mitigation activities that KYEM needs to undertake

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# Plan Maintenance

## Review Process

To maintain viable COOP capabilities, the agency is continually engaged in a process to designate essential functions and resources, define short- and long-term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones. KYEM’s Planning Branch is assigned the task of coordinating with the agency for COOP plan maintenance.

## Update Process

Following is a list of activities necessary to monitor the dynamic elements of the agency COOP plan and will take place in coordination with KYEM to assist and advise as necessary.

### Table 4: Activity Tasks

| **Activity** | **Tasks** | **Frequency** |
| --- | --- | --- |
| Plan update and certification | * Review entire plan for accuracy
* Incorporate lessons learned and changes in policy and philosophy
* Manage distribution
 | Biennially |
| Maintain orders of succession and delegations of authority | * Identify current incumbents
* Update rosters and contact information
 | As Needed |
| Maintain emergency relocation site readiness | * Check all systems
* Verify accessibility
* Cycle supplies and equipment, as necessary
 | Semiannually |
| Monitor and maintain vital records management  | * Monitor volume of materials.
* Update/remove files
 | Ongoing |
| Maintain alternate worksite readiness | * Test all systems, IT, and communications
* Verify access codes, systems, and contacts
* Cycle supplies and equipment if on site
 | Semiannually |
|  |  |  |
| Review/update supporting MOUs/MOAs | * Review MOUs/MOAs for currency and new needs
* Incorporate revisions, as required
* Obtain signatures of reviewing authorities to confirm validity
 | Annually |
| Monitor and maintain equipment at alternate sites | * Train users and provide technical assistance as needed
* Monitor volume/age of materials and assist users with cycling/updating/removing files
 | On-going |
| Train new key personnel | * Provide orientation
* Schedule participation in training and exercises
 | Within 30 days of appointment |
| Orient new leadership and senior management | * Brief officials on COOP philosophy
* Brief each position on his/her COOP responsibilities
 | Within 30 days of appointment |
| Plan and conduct exercises | * Conduct internal exercises
* Conduct joint exercises with support agencies
* Support and participate in interagency exercises
 | AnnuallyAnnuallyAnnually or as needed |
| Review and Approve COOP Plan | * Review COOP Plan changes
 | As needed |

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#  Annexes

[Annex A: Mission Essential Functions](#Annex_A_Mission_Essential_Functions)

[Annex B: Vital Records](#Annex_B)

[Annex C: COOP Decision Matrix](#Annex_C)

[Annex D: Operational Checklist](#Annex_D)

[Annex E: Acronyms](#Annex_E)

[Annex F: Glossary](#Annex_F)

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## Annex A: Mission Essential Functions

| **Mission Essential Function #**  |
| --- |
| **Mission Essential Function (MEF) Statement:**  |
| **MEF Description**:  |
| **Recovery Time Objective:**  |
| **Essential Support Activities (ESAs)** |
| **Priority** | **ESA** | **Position Responsible** | **Methods for Safeguarding**  |
| **#1** |  |  |  |
| **#2** |  |  |  |
| **#3** |  |  |  |
| **#4** |  |  |  |
| **#5** |  |  |  |
| **#6** |  |  |  |
| **Course of Action If MEF Fails:**  |
| **Orders of Succession**  |
| **Essential Position** | **Successor 1** | **Successor 2** | **Successor 3** | **Successor’s Authorities or Limitations** |
|  |  |  |  |  |
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| **Delegations of Authority**  |
| **Procedures for Delegations of Authority:**   |
| **Alternate Facility Requirements:**  |
| **Alternate Facilities**  |
| **Facility #1** |  |
| **Address**  |  |
| **Telephone #** |  |
| **Facility #2** |  |
| **Address**  |  |
| **Telephone #** |  |
| **Interoperable Communication Systems:****Methods for Safeguarding**:  |
| **Information Technology (IT) System:**  **Methods for Safeguarding:**  |
| **Mission Critical Systems and Equipment:****Methods for Safeguarding:**  |
| **Key Vendors:** **Methods for Ensuring the Provision of the Products or Services Each Vendor Provides:**  |
| **Additional Resources:**  |
| **Supporting Agencies:**  |
| **Approved By:**  | **Title:**  | **Date:**  |

| **Mission Essential Function #**  |
| --- |
| **Mission Essential Function (MEF) Statement:**  |
| **MEF Description**:  |
| **Recovery Time Objective:**  |
| **Essential Support Activities (ESAs)** |
| **Priority** | **ESA** | **Position Responsible** | **Methods for Safeguarding**  |
| **#1** |  |  |  |
| **#2** |  |  |  |
| **#3** |  |  |  |
| **#4** |  |  |  |
| **#5** |  |  |  |
| **#6** |  |  |  |
| **Course of Action If MEF Fails:**  |
| **Orders of Succession**  |
| **Essential Position** | **Successor 1** | **Successor 2** | **Successor 3** | **Successor’s Authorities or Limitations** |
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| **Delegations of Authority**  |
| **Procedures for Delegations of Authority:**   |
| **Alternate Facility Requirements:**  |
| **Alternate Facilities**  |
| **Facility #1** |  |
| **Address**  |  |
| **Telephone #** |  |
| **Facility #2** |  |
| **Address**  |  |
| **Telephone #** |  |
| **Interoperable Communication Systems:****Methods for Safeguarding**:  |
| **Information Technology (IT) System:**  **Methods for Safeguarding:**  |
| **Mission Critical Systems and Equipment:****Methods for Safeguarding:**  |
| **Key Vendors:** **Methods for Ensuring the Provision of the Products or Services Each Vendor Provides:**  |
| **Additional Resources:**  |
| **Supporting Agencies:**  |
| **Approved By:**  | **Title:**  | **Date:**  |

## Annex B: Vital Records

### Table 5: Vital Files, Records, and Databases

|  | Document | Form of Record (e.g. paper, electronic) | Storage Locations | MethodFor Safeguarding |
| --- | --- | --- | --- | --- |
| #1 |  |  |  |  |
| #2 |  |  |  |  |
| #3 |  |  |  |  |
| #4 |  |  |  |  |
| #5 |  |  |  |  |
| #6 |  |  |  |  |
| #7 |  |  |  |  |
| #8 |  |  |  |  |
| #9 |  |  |  |  |
| #10 |  |  |  |  |
| #11 |  |  |  |  |
| #12 |  |  |  |  |
| #13 |  |  |  |  |
| #14 |  |  |  |  |
| #15 |  |  |  |  |
| #16 |  |  |  |  |
| #17 |  |  |  |  |
| #18 |  |  |  |  |
| #19 |  |  |  |  |
| #20 |  |  |  |  |

## Annex C: COOP Decision Matrix

### Figure 4: COOP Decision Matrix



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## Annex D: Operational Checklists

|  |
| --- |
| Activation and Relocation |
| **Item** | **Task** | **Task Assigned To** | **DTG Completed** |
| 1 | Receive notification of emergency |  |  |
| 2 | If necessary, conduct evacuation |  |  |
| 3 | Account for all staff |  |  |
| 4 | If necessary, contact Emergency Responders (Fire, Police, EMS)  |  |  |
| 5 | Ensure that safety measures are put into effect |  |  |
| 6 | Contact Building Maintenance for shutting down utilities to limit further damage |  |  |
| 7 | Direct and assist emergency personnel as required |  |  |
| 8 | Notify Agency and activate COOP Plan as necessary |  |  |
| 9 | If necessary, invoke Orders of Succession |  |  |
| 10 | Initiate notification of all staff including continuity personnel |  |  |
| 11 | Convene Divisional meeting at assembly area or other pre-determined site. |  |  |
| 12 | Assemble supporting elements required for re-establishing and performing essential functions at continuity facility location:* Vital files, records and databases
* Critical equipment
 |  |  |
| 13 | Assemble remaining documents required for performance of all other essential functions to be performed at the alternate facility location |  |  |
| 14 | Notify all support agencies and critical contacts of COOP activation. |  |  |
| 15 | Prepare designated communications and other equipment for relocation |  |  |

|  |
| --- |
| **Activation and Relocation (cont.)** |
| **Item** | **Task** | **Task Assigned To** | **DTG Completed** |
| 16 | Take appropriate preventive measures to protect other communications and equipment that will not be relocated |  |  |
| 17 | Make computer connectivity and phone line transfers to designated alternate facility |  |  |
| 18 | Ensure go-kits are complete and ready for transfer |  |  |
| 19 | Continuity personnel begin movement to continuity facility |  |  |
| 20 | Evaluate the safety of the selected continuity facility prior to deployment |  |  |
| 21 | Develop and deliver status report |  |  |
| 22 | Notify remaining staff and appropriate agencies of movement to continuity location |  |  |

|  |
| --- |
| Continuity Operations |
| **Item** | **Task** | **Task Assigned To** | **DTG Completed** |
| 23 | Notify other State and Federal agencies, and surrounding jurisdictions as appropriate that operations have shifted to a continuity facility. |  |  |
| 24 | Organize staff and account for non-continuity personnel |  |  |
| 25 | Develop shift rotations as required |  |  |
| 26 | Determine which mission essential functions have been affected |  |  |
| 27 | Develop and deliver status report |  |  |
| 28 | Prioritize remaining essential functions for restoration |  |  |
| 29 | Track status and restoration efforts of all essential functions |  |  |
| 30 | Administrative actions to assemble: * Onsite telephone
* E-mail and telephone directory
* Workforce office plan
 |  |  |
| 31 | Occupy workspace:* Stow gear and equipment
* Vital files, records and databases
* Test telephone, fax, e-mail, radio and other communications
* Establish communications with essential support and office elements
 |  |  |
| 32 | Ensure all vital records, systems and equipment are available at alternate facility location |  |  |
| 33 | Coordinate procurement of additional equipment, as required |  |  |

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|  |
| --- |
| Reconstitution |
| **Item** | **Task** | **Task Assigned To** | **DTG Completed** |
| 34 | Appoint Reconstitution Manager and team |  |  |
| 35 | Survey condition of original facility and determine feasibility of salvaging, restoring or returning to original facility when emergency subsides or is terminated  |  |  |
| 36 | Develop long term reconstitution and recovery plans should original facility cannot be re-occupied. |  |  |
| 37 | Inventory and salvage useable equipment, materials, records and supplies from damaged facility, if possible  |  |  |
| 38 | Evaluate original or new facility to assure that all critical services and support is available and operational. |  |  |
| 39 | Conduct transition of mission essential functions, personnel and equipment from continuity facility back to designated facility  |  |  |
| 40 | Conduct transition of remaining essential function, personnel and equipment from continuity facility back to designated facility |  |  |
| 41 | Schedule and conduct initial debrief with staff  |  |  |

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## Annex E: Acronyms

**AAR** After Action Report

**ADA** Assistant Director for Administration

**ADO** Assistant Director for Operations

**AM** Area Manager (KYEM)

**BNGC** Boone National Guard Center

**CAP** Corrective Action Program

**CHAMPS** Commonwealth Hazard Analysis and Mitigation Planning System

**COOP** Continuity of Operations

**CSEPP** Chemical Stockpile Emergency Preparedness Program

**DHS** Department of Homeland Security

**EAS**  Emergency Alert System

**EF** Essential Functions

**EM** Emergency Managers

**EMA** Emergency Management Assistance

**EMAC** Emergency Management Assistance Compact

**EMARS** Electronic Maintenance Activity Reporting and Scheduling

**EMPG** Emergency Management Performance Grant

**ERC** Emergency Response Center [Environmental Protection Cabinet]

**ERS** Emergency Relocation Site

**FCD** Federal Continuity Directive

**FEMA** Federal Emergency Management Agency

**FNARS** FEMA National Radio System

**GAR** Governor’s Authorized Representative

**GETS** Government Emergency Telecommunications Service

**GMS** Grants Management System

**GOV** Government Owned Vehicle [state vehicle]

**HazMat** Hazardous Material

**HMEP** Hazardous Material Emergency Program

**HSEEP** Homeland Security Exercise and Evaluation Program

**HSPD** Homeland Security Presidential Directive

**ICS** Incident Command System

**IP** Improvement Plan

**IT** Information Technology

**J6** Joint Staff, Command and Control [KYNG]

**JOC** Joint Operations Center [KYNG]

**KOHS** Kentucky Office of Homeland Security

**KRS** Kentucky Revised Statute

**KU** Kentucky Utilities

**KYCC** Kentucky Convention Center

**KYEM** Kentucky Emergency Management

**KYNG** Kentucky National Guard

**KYTC** Kentucky Transportation Cabinet

**LEPC** Local Emergency Preparedness Committee

**LG&E** Louisville Gas and Electric

**MASS** Mutual Aid Support System

**MEF** Mission Essential Functions

**MOA** Memorandum of Agreement

**MOC** Manager-On-Call

**MOU** Memorandum of Understanding

**MRP** Mission Ready package

**MSU** Murray State University

**NFPA** National Fire Protection Association

**NIMS** National Incident Management System

**NRF** National Response Framework

**NWS** National Weather Service

**PIO** Public Information Officer

**POV** Privately Owned Vehicle

**Pro-Card** Procurement Card [government issued]

**RAO** Regional Administration Officer

**RTO** Recovery Time Objectives

**SAA** State Administrative Agency

**SAR** Search and Rescue

**SCO** State Coordinating Officer

**SEO** Senior Elected Officials

**SEOC** State Emergency Operations Center

**SHOC** State Health Operation Center

**SWP** State 24-hour Warning Point

**TAG** The Adjutant General [KYNG]

**TCL** Target Capabilities List

**THIRA** Threat and Hazard Identification and Risk Assessment

**TOC** Transportation Operations Center [KYTC]

**TSP** Telecommunications Service Priority

**TT&E** Testing, Training, and Exercises

**USACE** United State Army Corps of Engineers

**UTL** Universal Task List

**WHFRTC** Wendell H. Ford Regional Training Center [KYNG]

## Annex F: Glossary

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

**“Agency” or “The Agency”** – The ESF partner to whom this continuity of operations plan belongs

**All-hazards –** The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

**After Action Report –** a formal documentintended to serve as an aid to performance evaluation and improvement, by registering situation-response interactions, analyzing critical procedures, determining their effectiveness and efficiency, and proposing adjustments and recommendations

**Continuity of Operations (COOP) –** An effort within individual agencies to ensure they can continue to perform their MEFs during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

**Continuity Facility**– A location, other than the original facility, used to process data and/or conduct essential functions in the event of a disaster, loss of facility use, or personnel shortages. Similar Term: Emergency Relocation Site (ERS)

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

**COOP Event –** Any event or action which renders the primary worksite incapacitated and requires a full or partial activation of the COOP Plan.

**Delegations of Authority –** Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels and other organizational locations, as appropriate.

**State 24-hour Warning Point** - The Commonwealth’s 24-hour Warning Point (SWP) is a function of KYEM and where incidents are created and tracked by the duty officer. Once an incident exceeds the capabilities of the duty officer, it is handed off to the Manager-On-Call for possible SEOC activation.

**Essential Functions –** The critical activities performed by organizations especially after a disruption of normal activities. Mission Essential Functions (MEF) is one category of Essential Functions.

**Essential Resources –** Resources that support the organization’s ability to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the Nation’s industrial and economic bases during an emergency.

**Emergency Relocation Site (ERS).** A remote continuity facility to which the agency moves to continue mission essential functions and identified essential functions in the event that traditional work site is incapacitated.

**Facilities –** Locations where an organization’s leadership and staff operate. Leadership and staff may be co-located in one facility or dispersed across many locations and connected by communications systems. Facilities should be able to provide staff with survivable protection and should enable continued and endurable operations.

**Government Emergency Telecommunications Service –** GETS is a Federal program that prioritizes calls over wire line networks.

**Homeland Security Exercise and Evaluation Program (HSEEP) –** A threat and performance-based exercise program developed by the Department of Homeland Security that provides doctrine and policy for planning, conducting, and evaluating exercises. It was developed to enhance and assess terrorism prevention, response, and recovery capabilities at the federal, state and local levels.

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

**Information Technology (IT) -** Applied computer systems - both hardware and software, and often including networking and telecommunications, usually in the context of a business or other enterprise.

**Interoperability -** The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together. This word can also be used to describe the condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

**Interoperable Communications -** Alternate communications that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

**Improvement Plan** – A plan developed as a result of an exercise After Action Report which identifies specific correction actions, assigns them to responsible parties, and establishes target dates for their completion.

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

**Legal and Financial Records -** Records that are needed to protect the legal and financial rights of the transportation agency and of the persons affected by its actions.

**Line of Succession:** Is a list, by position, the person who (temporarily) performs the duties of said position upon the death, resignation, absence, or removal of its current occupant. This appointment is temporary until the appropriate governing body is convened to appoint, hire, or elect a person to the vacated position.

**Mission Essential Functions (MEFs)** – The limited set of organization level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities.

**National Continuity Policy** – Establishes a comprehensive national course of action for the continuity of Government and supporting private sector structures and operations.

**National Exercise Program (NEP) –** The NEP is the Nation’s overarching exercise program formulated by the National Security Council / Homeland Security Council (NSC/HSC), and executed by the Federal Interagency. All interagency partners have adopted HSEEP as the methodology for all exercises that will be conducted as part of the NEP.

**Normal Operations –** Generally and collectively, “normal operations” refer to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include planning and execution of tasks throughout the range of operations.

**Plan –** A proposed or intended method of getting from one set of circumstances to another. A plan is often used to move from the present situation towards the achievement of one or more objectives or goals.

**Reconstitution –** The process by which agency personnel resume normal business operations from the original or replacement primary operating facility.

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

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

**Risk Analysis** – The evaluation of the probability that certain disruptions will occur and the identification of controls to reduce organizational exposure to such risks.

**Target Capabilities List (TCL)** – The TCL is a list of capabilities that provides guidance on the specific capabilities that Federal, State, tribal and local entities are expected to develop and maintain to prevent, protect against, respond to, and recover from incidents of significance, including terrorism or natural disaster in order to maintain the level of preparedness as set forth in the National Preparedness Goals as published by the Department of Homeland Security.

**Test, Training, and Exercises (TT&E) -** Measures to ensure that an agency's COOP program is capable of supporting the continued execution of its essential functions throughout the duration of a COOP situation.

**Telecommunications Service Priority (TSP) –** TSP is a FCC program that directs telecommunications providers (wire line or wireless phone companies) to give preferential treatment when they need to add new lines or restore systems following a disruption of services regardless of cause.

**Universal Task List (UTL)** – The UTL is a comprehensive menu of tasks derived from all tasks that may be performed in major incidents as illustrated by the National Preparedness Scenarios as published by the Department of Homeland Security.

**Vital Databases -** Information systems needed to support essential functions during a COOP situation.

**Vital Records -** Electronic and/or hardcopy documents, references, and records needed to support essential functions during a COOP situation. The two basic categories of vital records are emergency operating records and legal and financial records.

**Vulnerability analysis –** A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications infrastructure, to damage or destruction.

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