

# Continuity of Operations (COOP) Plan



**Promulgation Statement**

The County mission is to ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

To accomplish this mission, the Marshall County Fiscal Court and the Marshall County Emergency Management Agency must ensure government services are performed efficiently with minimal disruption during emergencies, disasters, or other situations that will disrupt day-to-day operations. This document provides planning and program guidance for implementing Marshall County's Continuity of Government (COG) and Continuity of Operations (COOP) plans to ensure Marshall County is capable of conducting its Mission Essential Functions (MEF) under all threats and conditions.

Key Marshall County personnel who are relocated under this plan are collectively known as the Lead Continuity Team. Upon plan activation, when instructed, these members will deploy to CFSB Bank at 221 West 5th in Benton, Kentucky unless instructed to report to another location. Upon arrival, continuity personnel will sign in and start to establish an operational capability and perform essential functions within 12 hours from the time of the activation of the Continuity Plan, for up to a 30-day period or until normal operations can be resumed.

It will be reviewed and re-certified annually. Recipients are requested to advise the County's Emergency Management Director of any changes which might result in its improvement or increase in its usefulness. All changes to this plan and the supporting annexes must be approved by the Marshall County Fiscal Court and Marshall County Emergency Management.

*Approved this \_\_\_\_\_ Day of \_\_\_\_\_, \_\_\_\_\_*

\_\_\_\_\_  
County Judge-Executive

\_\_\_\_\_  
Marshall County Emergency Management  
Director

\_\_\_\_\_  
Commissioner

\_\_\_\_\_  
Commissioner

\_\_\_\_\_  
Commissioner

\_\_\_\_\_  
County Attorney

## Record of Changes

Marshall County's Emergency Management Director shall ensure any changes made to this plan outside the official cycle of plan review and update are documented and distributed using *Table 1.1* as outlined in the Plan Development and Maintenance section of this plan.

*Table 1.1 Document Change Record*

Date	Page(s)	Revision Description(s) (Include Section/Paragraph)	Who Posted

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## OVERVIEW

### Purpose

The Marshall County Continuity of Operations (COOP) Plan provides the framework for the county government to continue, or rapidly restore, Mission Essential Functions (MEF) under all threats and conditions, with or without warning, based upon established Recovery Time Objectives (RTO). Through activation of this plan, Marshall County will provide operational capability for identified MEFs within 12 hours of a continuity event and be able to continue mission essential operations for at least 30 days or until termination of the event.

This plan is not an emergency response plan. Rather, it is a plan that establishes those day-to-day services that must be continued under all situations. This plan works as a companion plan with other policies, plans, and procedures that may be implemented before, during, and after any all-hazards event occurs.

### Scope

This plan applies to the functions, operations, and resources necessary to ensure the continuation of the Marshall County's MEFs in the event normal operations are disrupted or threatened with disruption.

This plan supports the performance of MEFs from primary and alternate locations due to loss of facilities, equipment or systems failure, reduction in workforce, or loss of essential records in accordance with (KRS) 39D. This plan does not apply to temporary disruptions of service, including minor IT systems or power outages or any other scenarios where MEFs can be readily restored in the primary facility within 12 hours.

### **Security and Privacy Statement**

The Marshall County's COOP Plan shall be distributed, in whole or part, to personnel who have a continuity role within the county and supporting agencies. The Emergency Contact List contained in Annex D contains personal contact information that may be exempt from mandatory disclosure under Kentucky Revised Statute (KRS) 61.878.

Annex D shall be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with Marshall County employee privacy and is not to be released to other agencies or the public without prior approval of the County Judge-Executive or Emergency Management Director . As a result, Annex D may be filed and distributed separately from Marshall County's COOP Plan.



### **Situation Overview**

**The Marshall County Fiscal Court continuity facilities were selected based on a review of hazard considerations, capability assessments and accessibility requirements.**

**All facilities within Kentucky are vulnerable to a number of hazard and threat events. The State of Kentucky identifies certain hazards of prime concern which all state government continuity plans should consider: tornadoes, straight line winds, floods, and earthquakes.**

**The Jackson Purchase Development District Mitigation Plan provides a complete risk assessment of these hazards of prime concern. The Marshall County Continuity Plan is designed to be capable of continuing essential functions with minimal or no disruption during all types of hazard and threat events.**

## Risk Analysis

Marshall County has conducted a risk analysis on the risks and hazards that may impact the county's day-to-day operations and MEFs. Based upon this analysis, each of the hazards listed in *Table 2.1* have the potential to impact government operations with a score of 6 or higher having the greatest potential.

**Table 2.1 Threat Impact Assessment**

Natural Hazards			
Event	Severity	x	Probability = Score
Tornado	Moderate		Occasional 4
Winter/Ice Storm	Minor		Occasional 2
Earthquake	Catastrophic		Remote 2
Technological/Equipment Hazards			
IT/Communications Failure	Minor		Remote 2
Utility Outage (Power, Water , Sewer)	Minor		Remote 2
Human-Caused Hazards			
Hazardous Materials Release	Minor		Remote 2
Supply-Chain Failure	Minor		Remote 1
Terrorism	Minor		Remote 2

### Assumptions

Marshall County's COOP Plan is based upon the following assumptions:

- The Marshall County Government and Marshall County Emergency Management have considered the county government mission, statutory requirements, and emergency support function roles and have identified MEFs;
- The Marshall County Government and Marshall County Emergency Management maintain a Continuity of Government Plan that addresses many elements typically contained within a COOP, such as Orders of Succession, Alternative Facilities, and Essential Records per KRS 39D and the county Continuity of Government Plan should be the primary reference for these continuity actions;
- The Marshall County Fiscal Court and Marshall County Emergency Management will maintain the capability to implement this COOP with or without warning using trained and equipped personnel for any event that will disrupt the county MEFs;
- A continuity event will affect the Marshall County Government and Marshall County Emergency Management's ability to provide support to clients and external agencies. Outside assistance could be interrupted or unavailable;
- The Marshall County Government and Marshall County Emergency Management Leadership will exercise their authority to implement COOP in a timely manner when confronted with events that disrupt the county's MEFs;
- The Marshall County Government and Marshall County Emergency Management will provide operational capability within 12 hours of an event and be able to continue essential operations for at least 30 days or until termination of an event;
- A continuity event may require the relocation of leadership and continuity personnel to an alternate facility - refer to the county Continuity of Government plan for details regarding relocation;



- **Personnel and resources from county and state agencies will be available to support continuity operations from activation through demobilization;**
- **Equipment and software systems will become unavailable which will require continuity personnel to implement manual workaround procedures;**
- **Situational awareness and dissemination of information will be maintained through defined information sharing processes in coordination with local and state agencies. Common terminology will be used;**
- **Teleworking may be implemented as an alternate work arrangement during a continuity event;**
- **Resources and funding will be available to implement a comprehensive planning, training, and exercise program to enhance preparedness for any continuity event.**



### **Objectives**

The primary objectives of Marshall County's COOP Plan include:

- **Ensure the continuous performance of MEFs during any continuity event that will affect day-to-day operations;**
- **Reduce the loss of life and minimize property damage and loss to critical processes and information;**
- **Reduce or mitigate disruptions to operations;**
- **Protect facilities, infrastructure, equipment, records, and other assets in the event of a disruption;**
- **Recover from a continuity event in a timely and orderly manner, and resume full services;**
- **Ensure and validate continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise (TT&E) program.**

**Mission Essential Functions (MEF)**

Marshall County has identified its MEFs as listed in *Table 3.1*. MEFs are prioritized by RTO to assist the county in knowing which functions must be recovered first. Detailed information on the specific operational requirements, essential supporting activities, functional dependencies, and resources (key personnel, facilities, communication/IT systems, essential records, etc.) needed for “each” MEF can be found in the MEF Data Sheets.

*Table 3.1 Mission Essential Functions List*

MEF #	Mission Essential Function	Responsible Office/Section	RTO
#1	<b><i>Maintain Continuity of Government.</i></b> Ensure the continued functioning of county government and critical government leadership elements, including: succession to key offices; organizational communications (with a priority on emergency communications); leadership and management operations; situational awareness; personnel accountability;	Judge/E.M. Director	12 hours
#2	<b><i>Provide Visible Leadership.</i></b> Visible demonstration of leaders effectively dealing with crisis and leading response efforts.	Agency Heads	24 hours

MEF #	Mission Essential Function	Responsible Office/Section	RTO
#3	<p><b>Maintain Effective Relationships with Neighbors and Partners.</b> Maintain relationships and cooperative agreements with federal, state, local, and tribal governments, and private sector and non-profit partners.</p>	<p>Impacted agencies</p>	<p>24 hours</p>
#4	<p><b>Maintain Law and Order.</b> Maintain civil order and public safety (protect people and property and the rule of law), by ensuring basic civil rights, preventing crime, and protecting critical infrastructure.</p>	<p>Law Enforcement</p>	<p>12 hours</p>
#5	<p><b>Ensure Availability of Emergency Services.</b> Provide and/or assist local governments in providing critical emergency services, including emergency management, police, fire, ambulance, medical, search and rescue, hazmat, shelters, emergency food services, recovery operations, and other services as necessary.</p>	<p>Emergency Management</p>	<p>12 hours</p>



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<b>MEF #</b>	<b>Mission Essential Function</b>	<b>Responsible Office/Section</b>	<b>RTO</b>
#6	<p><b>Maintain Economic Stability.</b>  <b>Manage the overall economy of Marshall County by managing the county finances and ensuring solvency.</b></p>	<p>Treasurer Department</p>	<p><b>24 hours</b></p>
#7	<p><i>Ensure Availability of Basic Essential Functions.</i>            Provide and/or assist in the provision of basic services, including water, power, health care, communications, transportation services, sanitation services, environmental protection, commerce, and other services deemed necessary for life sustainment, economic viability and public safety. These are critical services necessary to sustain the population and that must continue or be restored quickly to provide for basic needs.</p>	<p>Agency            Heads/Emergency            Management</p>	<p><b>24 hours</b></p>



## CONCEPT OF OPERATIONS

### General

This plan may be partially or fully implemented if any of the following triggering events occur, singly or in any combination:

- Loss of access to facilities, in whole or part;
- Loss of services due to equipment or systems failure; • Loss of services due to a reduced workforce; • Loss, damage, or destruction of essential records.

All personnel employed by Marshall County Fiscal Court shall support implementation of this plan based upon their assigned responsibilities and as directed by the County Judge-Executive, EMA or their supervisor. Throughout activation of this plan, Marshall County shall operate under a defined Incident Command System (ICS) in compliance with the National Incident Management System (NIMS) as represented in Attachment 4 – Marshall County’s COOP ICS. The incident command structure may expand or contract based upon the complexity and duration of the event and the number of MEFs affected.

The Marshall County’s Fiscal Court, which consists of the County Judge-Executive, Deputy Judge Executive, Commissioners, Emergency Management and County Attorney will be assigned to Command and General staff positions within the County’s COOP ICS and is responsible for providing leadership and coordinating operations during activation of this plan. Continuity personnel will report to the Marshall County’s COOP ICS and shall implement the procedures necessary to maintain MEFs at primary or alternate locations.

### Phase I: Readiness and Preparedness

Marshall County shall participate in the full spectrum of readiness and preparedness activities to ensure personnel can continue MEFs in an all-hazard/threat environment. Marshall County’s readiness and preparedness activities shall be maintained by:

- Identifying key leadership and continuity personnel;
- Maintaining needed resources, equipment, and supplies;
- Maintaining primary and backup essential files, records, and databases;
- Identifying alternate facilities;
- Maintaining agreements with supporting agencies and vendors;
- Maintaining emergency contact lists;
- Training employees to develop family emergency plans and disaster supply kits;
- Implementing a continuity training and exercise program for all employees.

### **Phase II: Activation and Relocation**

The transition from Phase I to Phase II will occur when an event disrupts normal day-to-day operations of the Marshall County's MEFs. Marshall County Fiscal Court and Marshall County Emergency Management shall implement activation and relocation activities by:

- Making the decision to activate the COOP Plan;
- Activating the county's COOP ICS;
- Alerting and notifying employees and supporting agencies;
- Accounting for all employees and providing guidance;
- Maintaining a safe working environment;
- Maintaining situational awareness;
- Relocating continuity personnel, records, equipment, and supplies to alternate facilities, if required.

### **Phase III: Continuity of Operations**

The transition from Phase II to Phase III will occur when this COOP plan is activated and Marshall County continues to perform its MEFs at the primary or alternate facilities. Marshall County shall implement COOP by:

- Maintaining MEFs at the primary facility or alternate facilities;
- Maintaining essential supporting activities to ensure MEFs can be implemented;
- Requesting assistance from county/state agencies, if required;
- Continuing human resource management programs;
- Implementing telework policies;
- Preparing for reconstitution.

**Phase IV: Reconstitution Operations**

The transition from Phase III to Phase IV will occur when the continuity event has ended and the decision is made to reconstitute back to normal operations. Marshall County Fiscal Court and Marshall County Emergency Management shall implement reconstitution operations by:

- Deciding when to resume normal operations within the primary facility or other facility;
- Relocating back to the primary operating facility or other facility, if required; ● Documenting COOP operations through a formal after-action reporting process.

**Devolution of Direction, Control, and Coordination**

Marshall County may transfer its statutory authority and responsibility for the performance of MEFs to other county emergency management agencies and/or state agencies if continuity events render leadership, continuity personnel, and facilities unavailable to continue its MEFs. Marshall County shall implement devolution by:

- Transferring leadership authority;
- Transferring MEFs to authorized agency

**COOP ICS STAFF**

**COMMAND AND GENERAL STAFF**

**JUDGE EXECUTIVE**

**DEPUTY JUDGE EXECUTIVE**

**COMMISSIONER**

**COMMISSIONER**

**COMMISSIONER**

**EMERGENCY MANAGEMENT**

**COUNTY ATTORNEY OFFICE**



## ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

Marshall County’s Emergency Management agency is responsible for managing and maintaining the County’s COOP Program and ensuring all employees understand their roles prior to and during a continuity event. *Table 4.1* lists the continuity responsibilities of all personnel employed by Marshall County.

*Table 4.1 Continuity Responsibilities*

Position	Responsibility
County Judge Executive/Fiscal Court	<ul style="list-style-type: none"> <li>• Activates the county’s COOP Plan and COOP ICS when necessary;</li> <li>• Provides strategic leadership and overarching policy direction for the County’s Continuity Program;</li> <li>• Promulgates the County’s delegations of authority and orders of succession;</li> <li>• Ensures adequate funding is available for preparedness activities and emergency continuity operations;</li> <li>• Serves as a member of the county’s Fiscal Court and COOP ICS and provides leadership and direction for continuity operations;</li> <li>• Consults with/advises local, state, and federal officials during a continuity event.</li> </ul>
Emergency Management Director	<ul style="list-style-type: none"> <li>• Recommends to the County Judge-Executive and Marshall County Fiscal Court when to activate the county’s COOP and COOP ICS when necessary;</li> <li>• Oversees the County’s COOP Program and maintains the County’s COOP Plan in coordination with the Marshall County Fiscal Court;</li> <li>• Ensures all county components participate in COOP related training and exercises and reports planning, training, and exercise activities annually to the Governing Authority;</li> <li>• Works with the County’s Fiscal Court and COOP ICS to coordinate continuity operations and oversees response and recovery activities;</li> <li>• Appoints a Reconstitution Manager to coordinate reconstitution and recovery activities during a continuity event;</li> <li>• Documents continuity and reconstitution activities during activation and ensures records are maintained for future reference.</li> </ul>

Position	Responsibility
Supervisors	<ul style="list-style-type: none"> <li>• Assigns personnel to key continuity positions to ensure the continued performance of MEFs;</li> <li>• Promulgates delegations of authority and orders of succession;</li> <li>• Ensures Standard Operating Guidelines (SOG) and supporting documents are developed to support MEF operations;</li> <li>• Ensures personnel participate in COOP related training and exercises;</li> <li>• Ensures current call-down rosters are maintained;</li> <li>• Works With the County Emergency Management Director, County Judge-Executive and COOP ICS and provides leadership and direction for continuity operations;</li> <li>• Assigns personnel to support MEF operations in primary or alternate facilities.</li> </ul>
Continuity Personnel	<ul style="list-style-type: none"> <li>• Serves as a member of the coop and reports to the County's COOP ICS during activation of Marshall County's COOP Plan;</li> <li>• Relocates MEFs, equipment, supplies, and essential records to alternate facilities, if required;</li> <li>• Maintains MEFs at the primary or alternate facility during continuity events;</li> <li>• Documents continuity activities during activation and ensures records are maintained for future reference.</li> </ul>
Reconstitution Manager	<ul style="list-style-type: none"> <li>• Serves as a member of the county's COOP ICS to coordinate the transition from continuity operations to reconstitution operations;</li> <li>• Ensures the primary facility can support the performance of MEFs and/or coordinate with the appropriate agency to obtain office space for reconstitution, if the building is not habitable;</li> <li>• Develops a time phased reconstitution plan to ensure that functions are restored in a timely manner to minimize downtime;</li> <li>• Documents reconstitution activities and ensures records are maintained for future reference.</li> </ul>
All Employees	<ul style="list-style-type: none"> <li>• Know and understand their respective roles in a continuity environment and monitor agency communications for guidance during any continuity event;</li> <li>• Prepare for a continuity event and stand ready to deploy and conduct operations to support the performance of MEFs during activation of the County's COOP Plan;</li> <li>• Develop a family emergency plan and disaster supplies kit to increase personal and family preparedness;</li> <li>• Maintain 24/7 contact information and ensures this information is provided to the respective Supervisor;</li> <li>• Maintain a telework agreement, if applicable;</li> <li>• Participates in COOP related training and exercise activities.</li> </ul>



## DIRECTION, CONTROL, AND COORDINATION

### General

This plan serves as the operational framework for Marshall County to coordinate continuity operations through a defined ICS. At minimum, the County Judge-Executive, or designated supervisor, and Emergency Management Director will determine activation levels and coordinate continuity operations.

- Marshall County's Fiscal Court ICS Staff, which consists of the Judge Executive, Deputy Judge Executive, Commissioners, Emergency Management, and County Attorney continuity personnel make up the County's COOP ICS as represented and shall implement COOP as defined within this plan, whether relocation is required or not;
- Each office within Marshall County Government shall support COOP by providing personnel and technical and/or administrative support based upon the complexity and duration of an event and needs of the county;
- Personnel from supporting agencies may be assigned to Marshall County's COOP ICS but will operate in accordance with the rules, regulations, and capabilities of their respective agency;
- Marshall County shall document and track all expenses incurred during COOP activation, especially those eligible for state or federal reimbursement.

### Delegations of Authority

#### 1. General

- a. Marshall County has identified the levels of authority for personnel assigned to the leadership positions listed in the Marshall County's Continuity of Government Plan in the 'Emergency Interim Successors and Orders of Succession' section and the Orders of Succession Section of this COOP plan and for personnel assigned to continuity positions listed in 5.1 and 6.1
- b. Personnel assigned to these positions will be responsible for making policy or operational decisions during a continuity event, as applicable;
- c. Generally, pre-determined delegations of administrative authority and/or emergency authority will take effect when normal channels of direction have been disrupted. In most cases, emergency authority will lapse when normal channels of direction have been reestablished.

2. Types of Authority

- a. **Administrative Authority:** Personnel assigned to leadership positions will retain their day-to-day “administrative authorities” during a continuity event and may be granted additional “administrative and emergency authorities” as approved by the Marshall County’s Fiscal Court or County Judge-Executive (or successor) to ensure that Marshall County’s MEFs can be maintained during any continuity event.
- b. Administrative authority refers to the ability to make policy and legal decisions that have effects beyond the duration of the continuity event (i.e., hiring, employee dismissal, allocation of resources, fiscal decisions) and may or may not expire when the event is over;
- c. **Emergency Authority:** Continuity personnel assigned to specific MEFs shall be granted “emergency authorities” upon approval of the County Judge-Executive and/or supervisors as listed. Emergency authority refers to the ability to make decisions related to the continuity event (i.e., evacuation, relocation, MEF activities) and in most cases, will expire when the continuity event is over.

3. Delegation and Limitations

- a. The County Judge-Executive may delegate “administrative and emergency authorities” to supervisors as outlined within this plan and shall ensure supervisors are aware of their responsibilities and limitations (duration, extent, and scope) as determined by the County Judge-Executive and/or as defined by the Marshall County’s Fiscal Court;
  - b. Supervisors shall ensure all personnel who are given “emergency authorities” are aware of their responsibilities and limitations (duration, extent, and scope) as Mission Essential Function Duties determined by the County Judge-Executive.
4. **Triggering Events:** Delegations of authority for leadership and continuity positions may be implemented when the person holding the primary position cannot perform their duties for whatever reason, i.e., sickness, vacation, inability to report to work, or temporary assignment.

5. Notification

- a. The County Judge-Executive shall ensure the Marshall County Fiscal Court, and all employees are notified whenever Delegations of Authority and Orders of Succession are implemented for the County Judge-Executive;
- b. The County Judge-Executive shall ensure all essential county government employees are notified whenever Delegations of Authority and Orders of Succession are implemented for supervisors.



**Orders of Succession**

- 1. County Judge-Executive:** The County Judge-Executive holds the authority to activate the county Continuity of Government Plan and provide direction and control during a COG or COOP related event. Should the County Judge-Executive be unavailable; the Marshall County Fiscal Court will implement the Orders of Succession listed in the county Continuity of Government Plan per KRS 39D to ensure there is no lapse in leadership for the County. *Table 5.1* includes the successors listed in the county Continuity of Government Plan.

*Table 5.1 Orders of Succession for the County Judge-Executive*

Position	Designated Successors
County Judge-Executive	1. Deputy Judge Executive
	2. Governor’s appointment

- 2. Supervisors:** Each supervisor holds the authority to implement continuity operations as outlined within this plan and as determined by the County Judge-Executive. Should a supervisor be unavailable, the County Judge-Executive will implement the Orders of Succession listed in *Table 6.1*, as applicable.

*Table 6.1  
Orders of Succession for Supervisors*

Position	Designated successors
County Attorney	1. Assistant County Attorney
Emergency Management	1. Deputy Director
	2. Administrative Assistant
EMS	1. 3Shift Captain
	2. Shift Captain

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Position	Designated successors
GIS/ IT	1. Assistant
	2. Assistant
Road Department	1. Supervisor
	2. Administrative Assistant
Treasurer	1. Judges Appointment
911/ Dispatch	1. Assistant Director
	2. Supervisor

**3. Assigned Continuity Personnel:**

Delegations of Authority and Orders of Succession have been identified for personnel assigned to the key continuity positions for each MEF. Should the primary person be unavailable to support MEF operations, the County Judge-Executive or supervisors shall implement the pre-designated Delegations of Authority and Orders of Succession;

**Devolution of Direction, Control, and Coordination**

1. **Triggering Events:**

Devolution of Direction, Control, and Coordination addresses an emergency or disaster event that renders an agency incapable of maintaining MEF operations from either the primary or alternate facilities. The following may require Marshall County to “devolve” operations:

- a. MEFs cannot be conducted due to a catastrophic event that has rendered leadership, continuity personnel, and facilities unavailable for MEF operations;
- b. The Marshall County Fiscal Court makes the decision to “devolve” operations due to lack of personnel and resources.

2. **Transfer of Authority:** If required, Marshall County may transfer its leadership authority and MEFs to another local emergency management agency [e.g. KYEM, Governor’s Office, etc.].

**Phase I: Readiness and Preparedness**

1. **Continuity Personnel**

- a. The County Judge Executive or Marshall County Emergency Management Director shall assign personnel to the County’s COOP ICS to coordinate and support COOP during each of the phases as outlined in this plan;
- b. Supervisors shall assign personnel to continuity positions and ensure personnel are trained and prepared to perform continuity operations.

2. **Resources, Equipment, and Supplies**

- a. Each office that is responsible for implementing MEF operations shall ensure the critical equipment, systems, and supplies are maintained and are available for the continued performance of each MEF;



- b. The Emergency Management Director and designated continuity personnel should maintain “*Drive-Away-Kits*” to use during any event requiring activation of this plan, whether relocation is required or not. *Drive-Away-Kits* should include the plans, procedures, administrative supplies, and equipment needed to support the performance of each MEF, as applicable.

**3. Essential Files, Records, and Databases**

- a. Each office that is responsible for implementing MEF operations shall maintain the required primary and backup files, records, and databases needed for the continued performance of MEFs;
- b. Essential files, records, and databases shall be accessible and available for use at the primary and/or alternate facilities during a continuity event.

**4. Alternate Facilities**

- a. The Marshall County Fiscal Court shall ensure alternate facilities listed in the County COG are available to meet the operational objectives for each MEF;
- b. The Emergency Management Director shall coordinate with key personnel at the alternate facilities to maintain the spaces and critical “onsite” resources needed for the performance of MEFs. Each facility shall be reevaluated annually to ensure the facilities continue to meet the continuity requirements.

**5. Mutual Agreements**

- a. The Emergency Management Director shall ensure applicable agreements are in place with local, state, and private agencies and organizations to meet the operational objectives for each of the County’s MEFs;
- b. The original version of each agreement shall be maintained by the Emergency Management Director.



**6. Emergency Contact Lists**

- a. Emergency contact lists shall be maintained for leadership, continuity personnel, and supporting agency personnel as outlined in “Annex D – Emergency Contact Listing Annex.” Annex D shall be updated quarterly and distributed to the Personnel Department leader, and Emergency Management for our ICS call down.
- b. Supervisors shall maintain up-to-date contact information of all employees by using emergency call-down lists. Emergency call-down lists shall be updated and distributed quarterly;

**7. Family Emergency Plans: All employees will be advised to develop a family emergency plan and build disaster supplies kits to increase personal and family preparedness.**

**8. Guidance and templates are available at <http://www.ready.gov/make-a-plan>.**

**Phase II: Activation and Relocation (0-12 Hours)**

**1. Decision Process**

- a. Under the advisement of the county Emergency Management Director, the County Judge-Executive shall, through coordination with supervisors and continuity personnel, assess the situation and make the decision to activate this plan based upon the type of event, level of damage to the facilities, systems, essential records, and/or equipment, and impact on personnel and MEFs;
- b. The COOP Plan Activation Decision Matrix in Attachment 5 provides a guide to assist personnel on assessing the situation and determining when to activate this plan and to what level, partially or fully.

**2. Activation**

- a. Under the advisement of the Emergency Management Director, the County Judge-Executive shall activate the County's COOP ICS and implement plans and procedures for the continuance of MEFs and termination of nonessential functions through a time-phased approach, if possible;
- b. Under the advice of the Emergency Management Director, the County Judge-Executive shall activate continuity personnel to maintain MEF operations within the primary facility or if required, in an alternate facility. If relocation is required, personnel shall relocate MEFs to an alternate facility.

**3. Alert and Notification**

- a. Upon activation of this plan, and under the advisement of the Emergency Management Director, the County Judge-Executive and supervisors shall ensure all employees and key personnel from supporting agencies are notified through call down lists, emails, or by other means;
- b. The County Judge-Executive shall ensure the county Fiscal Court members are notified;
- c. Supervisors shall report the notification status of employees to the County Judge Executive.

4. **Employee Accountability and Guidance:** The County Judge-Executive and/or supervisors shall ensure all employees are accounted for and provided guidance on COOP through established information sharing processes;
5. **Employee Safety:** Safety shall be foremost during all phases of this plan. Personnel shall immediately report any safety concerns or incidents to the Emergency Management Director or supervisor.

Continuity personnel assigned to the ERG shall ensure MEF and event related information is provided to the Marshall County Fiscal Court in a timely manner as outlined in the Information, Collection, Analysis, and Dissemination Section of this plan;

Social media, media outlets, and other processes/systems may be used to keep employees, supporting agencies, and the public informed of the County's operational status;

Confidentiality and legal restraints shall be maintained throughout the information sharing process.

6. **Relocation to Alternate Facilities (if required)**

The Marshall County Fiscal Court, Emergency Management Team, and supervisors, shall abide by the county Continuity of Government Plan in regards to alternate facilities, per KRS 39D.

The Marshall County Fiscal Court, Emergency Management Team, and supervisors shall coordinate and support the relocation of continuity personnel and MEFs and required essential records, equipment, and supplies to the designated alternate facilities listed in Annex C – Alternate Facilities Annex if operations cannot be conducted within the County's primary facilities, either partially or fully;

Continuity personnel may deploy to alternate facilities using personal vehicles along with their assigned computers and "Drive-Away-Kits". Movement of equipment and supplies may be accomplished using county vehicles and resources;

Non-continuity personnel shall support relocation operations and/or be placed in a standby status;

Upon arrival at the alternate facility(s), supervisors shall ensure security protocols are implemented, infrastructure systems are operational, and mission critical systems are established, as required;

Continuity personnel shall submit status reports to Marshall County Fiscal Court, Emergency Management Team, and supervisors at designated intervals as requested;



### Phase III: Continuity of Operations

#### 1. Mission Essential Functions

- a. Upon activation of this plan, the Marshall County Fiscal Court, Emergency Management Team, and supervisors shall implement the plans and procedures necessary to ensure the performance of each MEF based upon established RTOs listed in Annex A – Mission Essential Function Data Sheets Annex. The County Judge-Executive or Emergency Management Director may make the decision to maintain designated MEFs at the primary facility(s) and suspend normal day-to-day operations for non-essential functions;
- b. If relocation is required, personnel shall continue to operate at the primary operating facility until ordered to cease operations by the County Judge-Executive. At that time, MEFs will be transferred to designated alternate facilities;
- c. Continuity personnel assigned to the ERG shall keep the Marshall County Fiscal Court, Emergency Management Team, and supervisors informed on the status of MEFs and if required, request assistance for additional personnel, equipment, supplies, or other needs.

#### 2. Essential Supporting Activities

- a. The Marshall County Fiscal Court, Emergency Management Team, and supervisors shall ensure the essential supporting activities and day-to-day functions (i.e., payroll, human resource management, IT support, security, vehicle maintenance) are maintained throughout activation of this plan to ensure MEF operations can be maintained;
- b. Specific essential supporting activities required for the performance of each MEF are also listed in the MEF Data Sheets of “Annex A – Mission Essential Function Data Sheets Annex.”
- c. Requests for assistance and resources (personnel, equipment, and supplies) can be made through mutual aid from the county, other local jurisdictions, and/or from the state through the state emergency operations center (SEOC);





## **Phase IV: Reconstitution Operations**

### **1. Decision Process**

- a. The County Judge-Executive, through coordination with the Emergency Management Director and the Reconstitution Manager, and applicable local and state authorities, shall make the decision to reconstitute operations based upon the operational status of the primary facility;
- b. The County Judge-Executive may implement one or more of the following options, depending on the situation:
  - 1) Continue to operate from the alternate facility;
  - 2) Reconstitute the primary operating facility, either fully or partially, and begin an orderly return back to the facility;
  - 3) Establish operations in another facility.
- c. The Reconstitution Manager will coordinate with local and state authorities to conduct security, safety, and health assessments to ensure the primary facility is safe and all systems are operational before relocating back to the primary operating facility or another facility.

### **2. Relocating back to the Primary Facility**

- a. Prior to relocating, the Reconstitution Manager shall develop a Reconstitution Plan to organize the orderly transition from the alternate facility(s) to the restored primary facility or a new facility;
- b. The County Judge-Executive and supervisors shall ensure all employees and supporting agencies are notified of the relocation process and shall oversee the transition from the alternate facility(s) to a new or restored primary facility. Movement of equipment and supplies may be accomplished using county vehicles and resources;

- c. **When the primary facility(s) are restored, continuity personnel assigned to the ERG at the alternate facility(s) will cease operations and transfer MEFs, essential records, equipment, and supplies back to the primary facility;**
- d. **Supervisors shall continue to account for all employees and submit status reports to the Emergency Management Director at designated intervals.**

**3. After Action Reporting**

- a. **The Emergency Management Director or his designee shall ensure an After Action Report/Improvement Plan (AAR/IP) is written within 120 days of an actual continuity event as outlined within the Tests, Training, and Exercise Section of this plan;**
- b. **Corrective actions identified in the AAR/IP shall be tracked and implemented through coordination with involved agencies per the Homeland Security Exercise and Evaluation Program (HSEEP) guidance.**

## **Training and Exercises**

- a. **All personnel, to include personnel from supporting agencies, should participate in training and exercises;**
  
- b. **Training and exercises should be conducted at the primary and alternate facilities to increase awareness and enhance the effectiveness of the continuity program;**
  
- c. **Marshall County employee's, staff, and continuity personnel should participate in a "cross-training" program to ensure personnel are capable of operating within an ICS and are capable of performing MEFs. Frequency of cross-training should be at the discretion of supervisors, but should occur as often as necessary to ensure proficiency.**



## HUMAN RESOURCE MANAGEMENT

### Leadership and Continuity Personnel

The County Judge-Executive, supervisors, and continuity personnel identified within this plan are responsible for carrying out the processes needed for the performance of the County's MEFs. Continuity personnel were selected by the County Judge-Executive and/or Emergency Management Director based upon:

- The predetermined essential functions that must be performed, regardless of the operational status of the Marshall County's primary operating facility;
- The member's knowledge and expertise in performing these essential functions; • The member's ability to rapidly deploy to the relocation site in an emergency situation.

During a continuity event, designated continuity personnel shall be activated by the County Judge-Executive (or successor) and supervisors to perform assigned continuity duties for the performance of the MEFs in Annex A – "Mission Essential Function Data Sheets Annex."

### Non-Continuity Personnel

Non-continuity personnel may be placed on a "standby" status or will be assigned to replace or augment the County's continuity personnel during activation of this plan. As a result, Marshall County's employees are expected to remain in contact with their respective supervisor or the Human Resource Manager during a continuity event and will remain available to replace or augment continuity personnel, as required.

**Accountability of Employees**

Accountability of personnel shall begin upon activation of this plan and continue through completion of Phase IV - Reconstitution Operations. The County Judge-Executive and supervisors shall account for all employees and submit status reports at designated intervals as outlined in the Information, Analysis, and Dissemination Section of this plan.

**Guidance to Employees**

The County Judge-Executive and supervisors shall ensure all employees are kept up-to-date concerning the operational status of the County and shall provide guidance through the use of:

- E-mail (work and personal)      • Call Down Lists
- Social media      • Person to person

**Human Resource Considerations**

Day-to-day human resource considerations involving pay, leave, benefits, staffing, incident reporting, travel, etc. shall continue throughout each phase of this plan as outlined in the Marshall County Handbook, and the KRS, as applicable.

## **INFORMATION COLLECTION, ANALYSIS, AND DISSEMINATION**

Marshall County shall gather, analyze, and disseminate information through coordination with other local, state, and federal agencies upon activation of this plan. Information shall be collected and disseminated through meetings and/or the use of communication systems and incident management software systems. Personnel shall document COOP related information in WebEOC. Dissemination of information to the public shall be coordinated through the Marshall County Emergency Management Public Information Officer. Confidentiality and legal restraints shall be maintained throughout the information sharing process.

Each office within Marshall County shall ensure the COOP related information is provided to the County Judge-Executive, Emergency Management Director, and supervisors in a timely manner to maintain a common operating picture throughout an event. While specific incidents may create additional or specialized reporting requirements, the information listed in *Table 7.1* shall be collected and reported, regardless of incident type.



**Table 7.1**  
**Disseminating Continuity of Operations Event Related Information**

Information Element	Specific Requirement	Responsible Element	Deliverables	When Needed	Distribution
Plan Activation/ Deactivation	Notify employees and supporting agencies when plan is activated.	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Emergency Management Director</li> </ul>	Notification through E-mail, WebEOC, and telephone.	Within 2 hours of activation/ deactivation or as determined by the Emergency Management Director.	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Supervisors</li> <li>All Employees</li> <li>Supporting Agencies</li> <li>County EM</li> </ul>
Personnel Accountability	Account for all employees.	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Supervisors</li> </ul>	Situation reports through meetings, conference calls, and WebEOC documentation.	Within 2 hours of activation or as determined by the Emergency Management Director	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Supervisors</li> <li>Emergency Management Director</li> </ul>
Operational Status	Percent of personnel that have arrived at alternate facilities and ability to conduct MEFs.	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Supervisors</li> <li>Emergency Management Director</li> <li>Continuity Personnel</li> </ul>	Situation reports through email, meetings, conference calls, and WebEOC documentation.	No later than 6 hours after activation or as determined by the Emergency Management Director.	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Supervisors</li> <li>All Employees</li> <li>Supporting Agencies</li> <li>Emergency Management Director</li> </ul>
Hazard Information	Threat details specific to primary and alternate facility(s).	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Supervisors</li> <li>Emergency Management Director</li> </ul>	Situation reports through meetings, conference calls, and WebEOC documentation.	Once per day and/or as determined by the County Judge-Executive.	<ul style="list-style-type: none"> <li>County Judge-Executive</li> <li>Supervisors</li> <li>Emergency Management Director</li> </ul>

INTEROPERABLE COMMUNICATION/INFORMATION TECHNOLOGY SYSTEMS

Marshall County uses and maintains the interoperable communication systems and information technology (IT) systems listed in *Table 8.1* to support day-to-day operations. Some systems are maintained regionally and are available on request. During a continuity event, Marshall County shall continue to use these same systems to support MEF operations at the primary facility, alternate facilities, or if required, at telework locations or other virtual offices. As a result, all necessary and required interoperable communication and IT capabilities shall be operational within 12 hours of continuity activation. The specific interoperable communication and IT systems required for the performance of each MEF are listed in the MEF Data Sheets contained Annex A – “Mission Essential Functions Data Sheet Annex.”

*Table 8.1 Interoperable Communication/IT Systems*

System	Provider	Available at Alternate Facility	Hand Carried to Alternate Facility
<b>Primary Systems</b>			
Land Based Telephone		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Cellular Telephone		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Y
Internet		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
E-mail		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Facsimile		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Video Conferencing		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Redundant Systems</b>			
Satellite Voice		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Satellite Data		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Amateur Radio		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Y
UHF/VHF/HF Radios		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Y
MITOC		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	



## BUDGETING AND ACQUISITION OF RESOURCES

### Financial Management

The County Judge-Executive shall ensure the county's financial policies adhered to during day-to-day operations and shall ensure these same policies are adhered to during a continuity event. During a continuity event, all expenditures shall be documented and tracked, especially if eligible for state or federal reimbursement.

### Continuity of Operations Budget

Marshall County will, within the approved budget, make available the needed resources and capabilities to support continuity operations. This would include access to funds and other applicable directives for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed. A copy of the approved budget is located at Marshall County Fiscal Courthouse. Should Marshall County's funding be fully executed prior to regular operations continuing, County Judge-Executive shall coordinate with Marshall County Fiscal Court to explore other resources/funding options.

### Agreements and Understandings

Should the Marshall County Fiscal Court's County's resources prove to be inadequate during any continuity event, requests for assistance may be made from other local, state, and federal agencies in accordance with existing or emergency negotiated intrastate and interstate mutual aid agreements, contracts, or existing memoranda of agreement/understanding. Such assistance may take the form of equipment, supplies, personnel, services, or other available capabilities. Copies of existing agreements and contracts shall be maintained by the Emergency Management Director as applicable. During a continuity event, the County Judge-Executive is responsible for oversight and handling of emergency work by contractors and shall follow their internal control guidelines as outlined in.

### Expenditures

Each office shall follow the Marshall County Fiscal Courts County's guidelines for purchasing equipment, supplies, and services in support of COOP activation, operation, and reconstitution activities. Personnel shall track expenses and maintain accurate financial records in accordance with Marshall County Fiscal Courts County's internal controls and state and federal requirements for the following:

- a. *Salaries*: Schedule for all employees assigned for continuity operations to include time worked, pay rates, regular time, and overtime;
- b. *Travel*: Copies of travel vouchers for lodging, mileage, food, and other expenses that have been paid due to continuity operations;
- c. *Equipment and Supplies*: Detailed description of equipment and supplies purchased and/or in support of continuity operations detailing the type, where the equipment and supplies were used, number of hours per piece/day, and type of work performed. Costs associated with recovery and rehabilitation of equipment shall also be documented.



TESTS, TRAINING, AND EXERCISE PROGRAM (TT&E)

Training

Personnel shall participate in training as outlined in *Table 9.1* to ensure they are aware of their continuity responsibilities and can implement COOP as outlined within this plan. Additional training may be conducted at the discretion of County Judge-Executive or Emergency Management Director. Supervisors shall maintain training records for assigned employees.

*Table 9.1 Continuity of Operations Training Schedule*

Audience	Training Topics	Individual to Provide Training	Frequency
New Employees	Continuity Awareness Training: Training must address individual responsibilities, development of a family support plan, and include a general overview of the County's COOP Plan.	<ul style="list-style-type: none"> <li>• Emergency Management Director</li> <li>• Supervisors</li> </ul>	Within 60 days of new hire
County Judge-Executive and Members of the County Governing Authority	Continuity Training: Training must address individual and leadership responsibilities and include a detailed overview of the County's COOP Plan.	Continuity Coordinator	Annually or when significant plan changes occur
	FEMA Independent Study ICS training to include IS 100.b, 200.b, 700.a, and 800.b. Training is available online at <a href="http://training.fema.gov/IS/">http://training.fema.gov/IS/</a>	Online Independent Study	Completed within 120 days of assignment
Emergency Management Director	FEMA Continuity related training to include IS-520, IS-546.a or IS-547.a, and IS-548. Training is available online at <a href="http://training.fema.gov/IS/">http://training.fema.gov/IS/</a>	Online Independent Study	Completed within 90 days of assignment
Continuity Personnel	Continuity Training: Training must address continuity responsibilities and include a detailed overview of the County's COOP Plan.	Emergency Management Director	Annually or when significant plan changes occur
Supporting Agencies	Continuity Awareness Training: Training must address agency responsibilities and include an overview of the County's COOP Plan.	Emergency Management Director	Annually or when significant plan changes occur
All Employees	Continuity Awareness Training: Training must address individual responsibilities and include an overview of the County's COOP Plan.	Continuity Coordinator	Annually or when significant plan changes occur

**Tests and Exercises**

Personnel should participate in the tests and exercises as outlined in *Table 10.1* to validate and test elements of this COOP plan, both individually and collectively, and to test and validate established procedures, systems, and equipment. Exercises should be conducted following HSEEP guidance and may be conducted independently or in conjunction with other local, region, state, or federal scheduled exercises.

*Table 10.1 Continuity of Operations Test and Exercise Schedule*

Exercise Type	Purpose	Participants	Frequency
Notification Drill	Test the ability to notify and share information with through established notification systems and to maintain up-to-date contact information.	<ul style="list-style-type: none"> <li>• County Judge-Executive/Super visors</li> <li>• Emergency Management Director</li> <li>• Continuity Personnel</li> </ul>	Semi Annual
Assembly Drill	Test the ability for personnel to receive notification alerts and assemble at primary and/or alternate facilities.	<ul style="list-style-type: none"> <li>• County Judge-Executive/Super visors</li> <li>• Emergency Management Director</li> <li>• Continuity Personnel</li> </ul>	Annually
Tabletop Exercise (TTX)	Provide the opportunity for the Emergency Management Director, Supervisors, and continuity personnel to discuss activation and implementation of the COOP plan and validate processes and procedures. TTXs may address COOP plan partially or fully.	<ul style="list-style-type: none"> <li>• County Judge-Executive/Super visors</li> <li>• Emergency Management Director</li> <li>• Continuity Personnel</li> </ul>	Every 2 years
		•	



Exercise Type	Purpose	Participants	Frequency
Functional Exercise (FE)	Test activation and implementation of the COOP plan and validate processes and procedures in a controlled and simulated setting. The FE must address activation, implementation of ICS, relocation and implementation of MEFs, Delegations of Authority, Orders of Succession, information sharing, and reconstitution.	<ul style="list-style-type: none"> <li>• County Judge-Executive/Super visors</li> <li>• Emergency Management Director</li> <li>• Continuity Personnel</li> </ul>	Every 5 years
Full-Scale Exercise (FSE)	Test activation and implementation of the COOP plan and validate processes and procedures under actual condition (as close as possible). The FSE must include activation, implementation of ICS, notification, relocation and implementation of MEFs, Delegations of Authority, Orders of Succession, information sharing, and reconstitution.	<ul style="list-style-type: none"> <li>• All Employees involved in COOP plan</li> </ul>	FSEs will be conducted based upon availability of funds, personnel, and resources.

**After-Action Evaluation and Reporting**

Marshall County should evaluate and document exercises and actual continuity events through an evaluation process (Exercise Evaluation Guides, Hot Wash, After Action Review, etc.) and development of formal AAR/IP as required by HSEEP and federal guidance. The evaluation should identify those strengths, areas for improvement, lessons learned, and corrective actions that support or will enhance the County’s COOP program and plan.

To support the TT&E Program and after action reporting requirements, the Emergency Management Director should ensure:

- A Hotwash is conducted immediately following an exercise or periodically during a continuity event;
- A formal After-Action Review is conducted within 2 weeks of an exercise or continuity event;
- AAR/IPs are completed by a designated evaluation team within 60 days of an exercise or within 120 days of a continuity event;
- Corrective actions identified in the AAR/IP are tracked and implemented through coordination with involved agencies per HSEEP guidance;
- The County’s COOP plan is revised based upon corrective actions and lessons learned.



**PLAN DEVELOPMENT AND MAINTENANCE**

**Maintenance**

The Emergency Management Director shall maintain Marshall County Fiscal Court’s COOP Plan as outlined in *Table 11.1*.

- This plan shall be updated or modified when there are significant organizational or procedural changes and/or when other events occur that will impact continuity personnel, systems, essential records, and processes. Recommended changes will be submitted through the Emergency Management Director for publication and distribution;
- The Emergency Management Director shall track and distribute any needed changes to this plan using Table 1.1 – Document Change Record when changes/updates are required outside the official cycle of plan review, coordination, and update;
- Documentation of annual reviews and revisions to this plan shall be maintained on file by the Emergency Management Director. Documentation should include, at a minimum, the date of the change, a description of the change with page/section number, and the name and title of the person who made the change.

***Table 11.1 Continuity Plan Maintenance Schedule***

Activity	Tasks	Responsibility	Frequency
Maintain Contact Information	Confirm and update the contact information for the County Judge-Executive, Members of Marshall County Fiscal Court, Emergency Management Director, continuity personnel, and key personnel from supporting agencies.	Emergency Management Director	Semiannually
Maintain Delegations of Authority and Orders of Succession	Identify current incumbents and update rosters and contact information	Emergency Management Director	Semiannually

**Document Control**

Marshall County's COOP Plan should be distributed, in whole or part, to personnel who have a continuity role within the county and supporting agencies to promote information sharing and facilitate a coordinated inter-organization continuity effort. Copies of this plan may be distributed via hard copy, electronic copy, or by posting on internal websites. The County's Emergency Management Director shall track who has received a copy of this plan and ensure updated versions are distributed whenever critical changes occur.

The original, signed copy of Marshall County's COOP Plan and the digital working copy shall be maintained by the Marshall County Emergency Management Director. Authorized recipients shall maintain copies of this plan in accordance with the security requirements as outlined in the Security and Privacy Section of this plan.

## AUTHORITIES AND REFERENCES

The following authorities and references have been used in the development of the Marshall County's COOP Plan:

### Authorities

#### County

- Marshall County Fiscal Court
- Marshall County Emergency Management

#### State

- Kentucky Administrative Regulations (KAR)
- Kentucky Revised Statutes (KRS)
- Kentucky Revised Statutes (KRS) Title V- Military Affairs o KRS 39A.950 - Emergency Management Assistance Compact;
  - o KRS 39B.045 - Mutual aid agreements between Kentucky or its agencies or political subdivisions and units of government from another state;
  - o KRS 39D.020 - Designation of alternate or substitute places for local government -- Acts valid and binding; o KRS 39D.030 - Ordinances and resolution for continuity of government; o KRS 39D.040 - Emergency interim successors -- Order of successions -- Vacancies--
    - o Applicability of statute to all special districts and political subdivisions; o KRS 39D.050 - Preservation of essential state public records – Duties of Archives and Records Commission.



**References**

**County**

- **Marshall County Emergency Operations Plan;**

**State**

- **The Commonwealth of Kentucky Emergency Operations Plan;**
- **Kentucky State Enhanced Hazard Mitigation Plan;**

**Federal**

- **FEMA's Continuity Guidance Circular 1 (CGC 1); Continuity Guidance for Non-Federal Entities, January 21, 2009;**
- **FEMA's Continuity Guidance Circular 2 (CGC 2); Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process, July 22, 2010;**
- **FEMA's Continuity Plan Template and Instructions, February 25, 2011;**
- **National Response Framework, U.S. County of Homeland Security, May 2013;**
- **Developing and Maintaining Emergency Operations Plans, Comprehensive Preparedness Guide (CPG) 101, Version 2.0, Federal Emergency Management Agency, November 2010;**

**ATTACHMENT 1 – MARSHALL COUNTY GOVERNMENT ORGANIZATIONAL CHART**

*Figure 1*

***Marshall County's Organizational Chart***

**Judge**

**Deputy Judge**

**Senior Commissioner**

**Commissioner**

**Commissioner**

**Governor's appointment**

# Marshall County's Critical Organizational Structure

## Attachment 1

**County Judge Executive**

**Deputy Judge Executive**

**3 Commissioners**

**Governor's Appointment**

### County Attorney

1. **Jason Darnell**
2. **Assistant County Attorney**

### Emergency Management

1. **Curt Curtner**
2. **Deputy Director**
3. **Administrative Assistant**

### EMS

1. **Bryan Cutsinger**
2. **Shift Captain**
3. **Shift Captain**



**GIS/IT**

- 1. Andy Lepisto**
- 2. Assistant**
- 3. Assistant**

**Jail**

- 1. Roger Ford**
- 2. Chief Deputy Jailer**
- 3. Supervisor**

**Road Department**

- 1. Roy Wadkins**
- 2. Supervisor**
- 3. Administrative Assistant**

**Sheriff**

- 1. Matt Hilbrecht**
- 2. Chief Deputy**
- 3. Sheriff's department Captain**

## **Annex C- Alternate Facilities**

### **Designation of Alternate Locations for the Marshall County Government**

In accordance with KRS 39D.020, when, during a state of emergency, it becomes imprudent, inexpedient, or impossible to conduct the affairs of local government at the regular or usual places, the Marshall County government will conduct public business at one or all of the following alternate locations.

The following essential facilities for Marshall County Government, as well as their alternate locations, are identified below;

**1. CFSB (Upper level)**

221 West 5th Street

Benton, Ky. 42025 270-527-6411 GPS: N 36.865768 W 88.359695

(Open, multiple independent work stations, wireless, phone, rehab on site)

**2. Marshall County Rescue/DES**

201 Ash Street

Benton, Ky. 42025 270-527-9092 GPS: N 36.862318 W 88.360581

(Open, multiple independent work stations, wireless, rehab on site)

**3. 911 Center**

591 US-68

Benton, KY 42025 270-527-4727 GPS: N 36.931536 W 88.351893

(Open, multiple independent work stations, wireless, phone, rehab on site)

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**Annex D- Emergency Contact List**

<b>County Judge Executive:</b>	<b>K. Spraggs</b>	<b>270-703-7653</b>
<b>Deputy Judge Executive:</b>	<b>A. Pagel</b>	<b>270-205-8040</b>
<b>Commissioner:</b>	<b>M. Collins</b>	<b>270-703-2850</b>
<b>Commissioner:</b>	<b>E. McGuire</b>	<b>270-703-1751</b>
<b>Commissioner:</b>	<b>M. Barrett</b>	<b>270-205-1085</b>
<b>County Attorney:</b>	<b>J. Darnall</b>	<b>270-703-7379</b>
<b>Emergency Management:</b>	<b>C. Curtner</b>	<b>270-205-8947</b>
<b>EMS:</b>	<b>B. Cutsinger</b>	<b>270-7035982</b>
<b>GIS/IT</b>	<b>A. Lepisito</b>	<b>270-205-9271</b>
<b>Road Department</b>	<b>R. Watkins</b>	<b>270-703-4418</b>
<b>Treasurer</b>	<b>E. West</b>	<b>270-970-0509</b>
<b>Sheriff</b>	<b>M. Hillbecht</b>	<b>270-703-5669</b>

**D-1**



## ATTACHMENT 2 - GLOSSARY

**Activation:** Once a continuity of operations plan has been implemented, whether in whole or in part, it is considered “activated.”

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

**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.

**Alternate Facilities:** Locations, other than the primary facility, used to carry out mission essential functions, particularly in a continuity event. “Alternate facilities” refers to not only other locations, but also nontraditional options such as working at home (teleworking), telecommuting, and mobile-office concepts.

**Cold Site:** A continuity facility equipped with electric power, air conditioning, telephone connections, water, etc., but without computers, office equipment, and furniture. A cold site provides a less timely response to a disaster because it must be converted into a hot-site for use.

**Communications:** Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions of the organization. Robust communications help ensure that the leadership receives coordinated, integrated policy and operational advice and recommendations and will provide the ability to communicate internally and with other entities.

**Continuity:** An uninterrupted ability to provide services and support, while maintaining organizational viability, before, during, and after an event.

**Continuity of Operations:** An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

**Continuity of Operations Event:** Any event that causes an agency to relocate its operations to an alternate or other continuity site to assure continuance of its mission essential functions.

**Emergency Management Directors –** At the federal level these are representatives of the executive branch and agencies at the assistant secretary (or equivalent) level. At the non-federal entity level, these are the senior representatives tasked with coordinating the organization's continuity program.

## Attachment 4-A

**Continuity Personnel:** Those personnel who provide the functional support necessary to continue essential operations

**Corrective Action Program:** The Corrective Action Program (CAP) system is a web-based tool that enables federal, state, and local emergency response and homeland security officials to develop, prioritize, track, and analyze corrective actions following exercises or real world incidents. Users may enter data from a finalized After Action Report/Improvement Plan, track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

**Delegation of Authority:** Identification, by position, of the authorities for making policy determinations and decisions at headquarters, field levels, and all other organizational locations. Generally, predetermined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

**Devolution:** The capability to transfer statutory authority and responsibility for mission essential functions from an agency's primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.

**Drive-Away Kit:** A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual's personal and professional needs during deployment.

**Emergency Authority:** Emergency authority refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP/COG plan, deciding whether to evacuate a building, or determining which personnel should report for their duties. In an emergency requiring COOP/COG plan activation, COOP/COG team members are often the natural choice for assuming emergency authority. However, COOP/COG team members are not the only candidates for such authority.

**Emergency Operating Records:** Records that support the execution of an agency's essential functions.

**Emergency Relocation Group (ERG):** Pre-designated staff who move to a relocation site to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident. The ERG is composed of an advanced team plus emergency personnel.

**Essential Supporting Activity:** Specific supporting activities an organization must conduct in order to perform its Mission Essential Functions. Supporting activities typically are enablers that make it possible for an organization to perform its mission.

**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 must be able to provide staff with survivable protection and must enable continued and enduring operations.



## Attachment 4-A

**Go-Kits:** A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual's personal and professional needs during deployment.

**Hot Site:** A continuity facility that already has in place the computer, telecommunications, and environmental infrastructure required to recover critical business functions or information systems.

**Interoperable Communications:** Communications that provide the capability to perform mission essential functions, in conjunction with other organizations/entities, under all conditions.

**Leadership:** The senior decision makers who have been elected (e.g., the President, State governors) or designated to head a branch of government or other organization.

**Governing Authority/Management Team:** The Governing Authority, which consists of the County Judge-Executive, Marshall County Fiscal Court, and Emergency Management Director, is responsible for coordinating continuity preparedness, response, and recovery activities for each of the continuity phases. Members of the Governing Authority will be assigned to Command and General staff positions within the County's COOP ICS.

**Legal and Financial Records:** Records that are necessary to protect the legal and financial rights of both the government and private sector and the persons who are affected by its actions.

**Memorandum of Agreement/Memorandum of Understanding:** Written agreement between counties/agencies that require specific goods or services to be furnished or tasks to be accomplished by one organization in support of the other.

**Mission Essential Functions (MEF):** The limited set of agency-level functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

**Orders of Succession:** Provisions for the assumption by individuals of organization senior leadership positions during an emergency in the event that any of those officials are unavailable to execute their legal duties.

**Organization Head:** The highest-ranking official of the primary occupant organization, or a successor or designee who has been selected by that official.

**Primary Facility:** The site of an organization's normal, day-to-day operations; the location where the employee usually goes to work.

**Reconstitution:** The process by which surviving and/or replacement organization personnel resume normal operations from the original or replacement primary operating facility.

**Recovery Time Objective:** A RTO is an estimate of the "maximum" amount of time a MEF can be down. An RTO is measured in minutes, hours, or days and is important for recovery planning.



## Attachment 4-A

**Risk Analysis:** The process by which risks are identified and evaluated.

**Risk Assessment:** The identification and assessment of hazards.

**Telecommuting locations:** Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.

**Telework:** The ability to work at a location other than the official duty station to perform work or emergency duties. This may include, but is not limited to, using portable computers, personal computers, high-speed telecommunications links, and mobile communications devices.

**Tests, Training, and Exercises:** Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's mission essential functions throughout the duration of a continuity situation.

**Essential Databases:** Information systems that are needed to support essential functions during a continuity situation.

**Virtual Offices:** A location or environment where employees use portable information technologies and communication packages to do their work.

**Essential Records:** Electronic and hardcopy documents, references, and records that are needed to support mission essential functions during a continuity situation. The two basic categories of essential records are (1) emergency operating records and (2) 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. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures.

**Warm Site:** A continuity facility that is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is capable of providing backup after additional provisioning, software or customization is performed.

## Attachment 4-A

### ATTACHMENT 3 – ACRONYMS *Table 12.1*

#### *COOP Plan Acronyms*

AAR/IP	After Action Report/Improvement Plan
CAP	Corrective Action Program
CGC	Continuity Guidance Circular
COG	Continuity of Government
COOP	Continuity of Operations
CPG	Comprehensive Preparedness Guide
DOC	County Operations Center
EOC	Emergency Operations Center
ESF	Emergency Support Function
ERG	Emergency Relocation Group
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FSE	Full-scale Exercise
HSEEP	Homeland Security Exercise and Evaluation Program
ICS	Incident Command System
IT	Information Technology
KAR	Kentucky Administrative Regulation
KRS	Kentucky Revised Statute
KY	Kentucky
LHD	Local Emergency management agency
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NIMS	National Incident Management System
PQI	Prevention and Quality Improvement
RTO	Recovery Time Objective
TTX	Table Top Exercise
TT&E	Tests, Training, and Exercise

## Attachment 4-A

### ATTACHMENT 4: MARSHALL COUNTY INCIDENT COMMAND STRUCTURE FOR CONTINUITY OPERATIONS

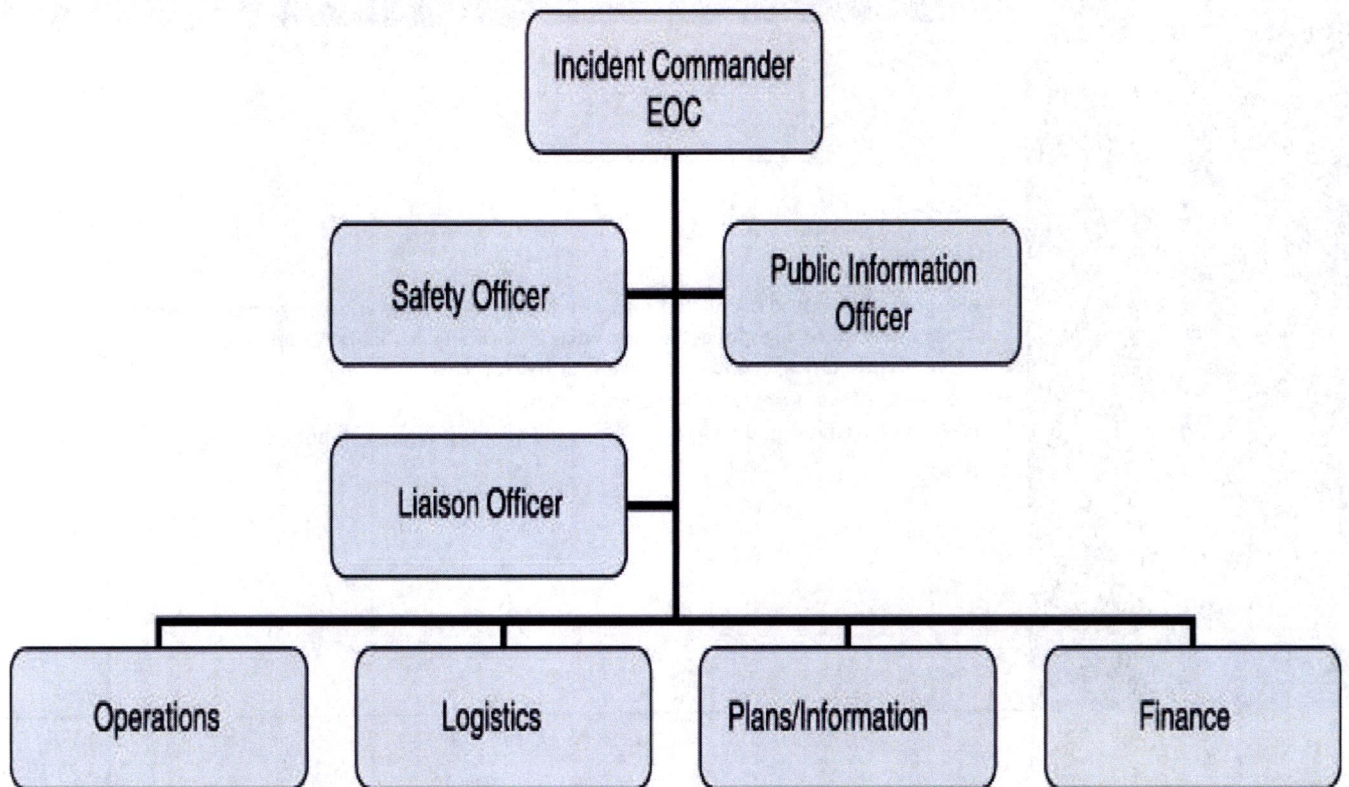
Marshall County's Judge Executive, Fiscal Court, Emergency Management, and Supervisors, shall coordinate and provide support to continuity personnel assigned to the ERG group through the County's COOP ICS in *Figure 2* whenever Mission Essential Functions (MEF) are being conducted, fully or partially, during a continuity event. At minimum, the County Judge-Executive, or designated supervisor, and Emergency Management Director will coordinate continuity operations.

The incident command structure in *Figure 2* will expand or contract to meet the needs of the County based upon the continuity event. The county's Emergency Operations Center (EOC) may or may not be activated. Supporting agency representatives may provide technical and/or logistical support through assignment to an ICS position.



Attachment 4-A

**SAMPLE INCIDENT COMMAND STRUCTURE**



## ATTACHMENT 5: COOP PLAN ACTIVATION DECISION MATRIX

The County Judge-Executive and Emergency Management Director, shall assess the status of the County to determine when to activate this plan. Continuity of Operations may be fully or partially implemented as required to maintain Mission Essential Functions (MEFs). The information in *Table 13.1* may be used to guide personnel on when to activate and implement COOP.

**Table 11.1 COOP Plan Activation Decision Matrix**

Level	Category	Impact on Organization	Decisions
IV	Alert	<p>An actual or anticipated event that may affect day-to-day operations for up to 12 hours but does not require a response beyond what is normally available. Examples:</p> <ul style="list-style-type: none"> <li>● An event with notice, such as a severe weather forecast;</li> <li>● Scheduled software upgrades to essential systems;</li> <li>● Essential equipment maintenance is expected to last less than 12 hours.</li> </ul>	<ul style="list-style-type: none"> <li>● Appropriate personnel are alerted and assistance is requested;</li> <li>● Activation of the COOP plan is not required.</li> </ul>
III	Stand-by and Readiness	<p>An actual or anticipated event estimated to impact day-to-day operations for 12-24 hours that might require assistance beyond what is normally available. Examples:</p> <ul style="list-style-type: none"> <li>● Severe storm approaching where agency facilities are located;</li> <li>● Essential equipment maintenance expected to last more than 12 hours but less than 24 hours;</li> <li>● System or equipment failure expected to last more than 12 hours but less than 24 hours.</li> </ul>	<ul style="list-style-type: none"> <li>● All employees are notified and placed on standby;</li> <li>● Activation of the COOP plan is not required.</li> </ul>



Level	Category	Impact on Organization	Decisions
II	Partial Activation	<p>An actual event estimated to disrupt day-to-day operations of one or more MEFs for more than the established recovery time objectives and/or impacts essential systems for 2-7 days. Examples:</p> <ul style="list-style-type: none"> <li>• Severe weather event with moderate impact to facilities, and essential functions;</li> <li>• Small fire localized to one floor of the building;</li> <li>• System or equipment failure expected to last more than one day;</li> </ul>	<ul style="list-style-type: none"> <li>• All employees and supporting agency personnel are alerted and instructed on partial activation of the COOP plan for less than 14 days;</li> <li>• COOP ICS is partially activated;</li> <li>• May require relocation for some personnel, resources, essential records, and MEF to alternate facility(s).</li> </ul>
I	Full Activation	<p>An actual event that significantly disrupts operations of three or more MEFs for more than the established recovery time objectives or impacts multiple essential systems for more than 7 days. Examples:</p> <ul style="list-style-type: none"> <li>• Severe weather event with significant impact on personnel, equipment, systems, and facilities;</li> <li>• Gas line explosion has caused a large fire and significant damage within the primary facility;</li> <li>• System or equipment failure expected to last for an extended period of time;</li> </ul>	<ul style="list-style-type: none"> <li>• All employees and supporting agency personnel are alerted and instructed on full activation of the COOP plan.</li> <li>• COOP ICS is fully activated;</li> <li>• May require relocation of a large number of personnel, resources, essential records, and MEFs to alternate facility(s).</li> </ul>



# Human Resource Management Plan

## Leadership and Continuity Personnel

The County Judge-Executive, supervisors, and continuity personnel identified within the Direction, Control, and Coordination Section of this plan are responsible for carrying out the processes needed for the performance of the County's MEFs. Continuity personnel were selected by the County Judge-Executive and/or Emergency Management Director based upon:

- The predetermined essential functions that must be performed, regardless of the operational status of the Marshall County's primary operating facility;
- The member's knowledge and expertise in performing these essential functions;
- The member's ability to rapidly deploy to the relocation site in an emergency situation.

During a continuity event, designated continuity personnel shall be activated by the County Judge-Executive (or successor) and supervisors to perform assigned continuity duties for the performance of the MEFs in Annex A – "Mission Essential Function Data Sheets Annex."

## Non-Continuity Personnel

Non-continuity personnel may be placed on a "standby" status or will be assigned to replace or augment the County's continuity personnel during activation of this plan. As a result, county employees are expected to remain in contact with their respective supervisor during a continuity event and will remain available to replace or augment continuity personnel, as required.

## **Accountability of Employees**

Accountability of personnel shall begin upon activation of this plan and continue through completion of Phase IV - Reconstitution Operations. The County Judge-Executive and supervisors shall account for all employees and submit status reports at designated intervals;

## **Guidance to Employees**

The County Judge-Executive and supervisors shall ensure all employees are kept up-to-date concerning the operational status of the County and shall provide guidance through the use of:

- E-mail (work and personal)
- Intranet
- Social media
- Call down Lists
- 

## **Human Resource Considerations**

Day-to-day human resource considerations involving pay, leave, benefits, staffing, incident reporting, travel, etc. shall continue throughout each phase of this plan as outlined in Marshall County's employee handbook, the KRS, as applicable.

**Attachment 7**

**Drive Away Kits**

**SAMPLE:**

**Drive Away Kit**

**The following table shows possible items to recommend continuity drive-away kits.**

**Drive Away Kit**  
**Identification and charge cards**  
**Government identification card**  
**Driver's license**  
**Government travel card**  
**Health insurance card**  
**Personal charge card**  
**Communication equipment**  
**Government cell phone**  
**Personal cell phone**  
**Government Emergency Telephone Service card**  
**Hand-carried vital records**  
**Directions to continuity facility**  
**Business and leisure clothing**  
**Continuity plan**  
**Flashlight**  
**Business and personal contact numbers**  
**Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)**  
**Toiletries**  
**Chargers/Extra Batteries for phones, GPS, and laptop**  
**Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)**  
**Medical needs**  
**Insurance information**  
**List of allergies/blood type**  
**Hearing aids and extra batteries**  
**Glasses and contact lens**  
**Extra pair of eyeglasses/contact lenses**  
**Prescription drugs (30-day supply) Over-the-counter medications, dietary supplements**