



# City of Kettering Continuity of Operations Plan

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## Introduction

Continuity of Operations plan (COOP) is an effort within an organization to ensure that its essential functions continue to be performed during a wide range of disasters until normal operations can be resumed. Ensuring the performance of an organization's essential functions supports that critical services continue to be provided and that applicable core capabilities continue to be delivered. Today's threat and hazard environment and the potential for no-notice emergencies, including natural hazards, technological hazards, and man-made hazards, have increased the need for robust continuity capabilities and planning across the whole community. An organization's and community's resiliency is directly related to the effectiveness of its continuity capability. The continuity capability outlined in this document promotes the organization to continue its essential functions across a broad spectrum of emergencies. The direction included in this plan follows the guidance outlined in the FEMA Continuity Guidance Circular (2018).

## Executive Summary

The mission of the City of Kettering is to meet community needs by delivering an effective system of services; thereby minimizing the impact of fire, hazardous conditions, illness, and injury with a caring and efficient response. To support this mission, our organization must be prepared to continue operations during any type of threat or emergency, and be able to effectively resume essential operations if they are interrupted. Included in this responsibility is the requirement to formulate guidance and establish common objectives for the organization to use in developing a viable, executable COOP plan, facilitate interagency coordination and oversee and assess the status of its COOP capabilities. This COOP plan provides the strategic guidance, objectives, performance measures, and resource requirements for maintaining operational functionality. This COOP plan also provides guidance for the continuity of essential functions that will enable the organization to provide vital services during a continuity event. A List of these events are included in Attachment 2.

## Purpose

The goal of the City of Kettering's continuity capability is to continue or resume the immediate essential functions within 12 hours of an event and maintain those functions for up to 30 days or until normal operations can be resumed. The purpose of this document is to ensure that a capability exists to continue the essential functions of the City of Kettering across a wide range of potential disasters. This plan provides a framework to direct and guide appropriate actions that would be taken to continue the agency's essential functions and achieve an orderly agency recovery/reconstitution from emergency situations.

The objectives of a continuity of operations plan include:

- Ensuring that an organization can perform its essential functions under all conditions;
- Reducing the loss of life and minimizing property damage and loss;
- Executing a successful order of succession with accompanying authorities in the event a disruption renders that organization's leadership unable, unavailable or incapable of assuming and performing their authorities and responsibilities of office;
- Reducing or mitigating disruptions to operations;
- Ensuring there are facilities from which organizations can perform essential functions;
- Protecting personnel, facilities, equipment, records and other assets critical to the performance of essential functions in the event of a disruption;
- Achieving the organization's timely and orderly recovery and reconstitution from an emergency; and
- Ensuring and validating continuity readiness through a dynamic and integrated continuity test, training and exercise program and operational capability.

## Situation and Scope

An organization's COOP is implemented when an organization loses access to a facility, loses services due to a reduction in the workforce, or loses services due to equipment or systems failure. The City of Kettering is susceptible to a multitude of natural, technological, and man-made disasters. These disasters, depending on their scope and magnitude have the ability to damage the organization's facility, reduce the available workforce, and/or cause equipment and systems failure. The specific hazards the City of Kettering is susceptible to are outlined in the 2019 Montgomery County Natural Hazard Mitigation Plan and Kettering Fire Departments Risk Analysis. A list of these hazards is included in Attachment #2. This plan is applicable to all organization staff, partners, and suppliers. Personnel working for the City of Kettering would be responsible for complying with this COOP plan.

The organization may also utilize an Emergency Response Plan (ERP), Occupant Emergency Plan (OEP), or some other document that is intended to ensure the safety of personnel in the event of an incident inside or immediately surrounding an organization's building. While ensuring the safety of all organization personnel is a critical element of COOP planning, the ERP or OEP is a standalone document that is distinct from the COOP plan. The plans may be implemented simultaneously and are intended to supplement each other.

The scope of this plan is to address the actions that would be taken and the resources that would be needed to operate the City of Kettering's continuity capability. The plan is scalable and flexible depending on the needs of the incident.

## Assumptions

Planning requires assumptions based on statistics, history, behavior patterns and likely future trends. The following assumptions were made as consideration for the City of Kettering's COOP plan:

- A hazard may occur with little or no warning, and may escalate quickly.
- Hazard characteristics may differ by probability, magnitude, warning time and duration.
- Hazards may have cascading effects that may require their own unique approaches for continuity of operations.
- Hazards may damage the organization's facility, reduce the available workforce, and/or cause equipment and systems failure.
- Hazards may adversely impact the organization's ability to continue performing its essential functions and provide support to outside organizations and jurisdictions.
- The vulnerability of the organization depends on the probability of a continuity event occurring and the impact the event could have on the organization's ability to operate.
- Current employees, outside personnel and resources located beyond the affected area will be available as necessary to continue essential functions.
- When the COOP capability is activated, the organization will implement the predetermined framework outlined in this plan utilizing trained and equipped personnel.
- The organization will provide operational capability within 12 hours of the event and be able to continue essential functions for 30 days or until normal operations can be resumed.

## Essential Functions

Essential Functions refers to those processes and functions that must be maintained under any and all circumstances. These essential functions may be performed on a day to day basis but also include those essential functions that are performed during an emergency including the responsibilities outlined in the City of Kettering's Emergency Operations Plan (EOP). The below chart identifies the City of Kettering's essential functions. The below functions were prioritized into five categories: Immediate; Necessary; Important; Postponed; and Extended.

- *Immediate* priority functions are those functions that must be continued without interruption or resumed within 12 hours from a disruption.
- *Necessary* priority functions are those functions that must resumed within 12 to 72 hours following a disruption.

- *Important* priority functions are those functions that must be resumed within 72 hours to 1 week following a disruption.
- *Postponed* priority functions can be delayed until the immediate, necessary, and important functions are operational. These functions are resumed within one week to 30 days following a disruption.
- *Extended* priority functions are those functions that can be delayed for 30 days or more.

This prioritization is based on multiple factors or priorities that all influence how quickly the essential function must be performed. These priorities include:

- Whether the essential function is directly tied to ensuring life safety; and
- How quickly the essential function would need to be resumed; and
- Whether other essential functions depend on the essential function being completed; and
- How severe the impact of not conducting or delaying the performance of the essential function would be; and
- Whether the essential function is involved in multiple critical processes and services; and
- How high of a priority the essential function is for management.

The essential functions that are directly tied to ensuring life safety; need to be resumed the quickest; support other essential functions; have the greatest severity when not completed; are involved in multiple critical processes and services; and are a priority of management are the essential functions that would need to be recovered first. The processes, critical applications and vital records would be recovered following the prioritization of the essential functions they support.

| Priority  | Essential Functions   |
|---|---|
| <b>Immediate:</b> functions that must be continued without interruption or resumed within 0 to 12 hours following a disruption.   | <ul style="list-style-type: none"> <li>• Fire and EMS Services</li> <li>• Law Enforcement Services/Certain Prosecution Functions</li> <li>• Public Service</li> </ul>                             |
| <b>Necessary:</b> functions that must be resumed within 12 to 72 hours following a disruption.  | <ul style="list-style-type: none"> <li>• Finance Department</li> <li>• Human Resources</li> <li>• City Manager’s Office</li> <li>• Mayor and Council</li> <li>• Administrative Systems</li> </ul> |
| <b>Important:</b> functions that must be resumed within 72 hours to 1 week following a disruption.  | <ul style="list-style-type: none"> <li>• Engineering Department</li> <li>• Income Tax Division</li> <li>• Law Department</li> </ul>   |
| <b>Postponed:</b> functions that can be delayed until the immediate, necessary, and important functions are operational. These functions are resumed within one week to 30 days following a disruption. | <ul style="list-style-type: none"> <li>• Planning and Development</li> <li>• Senior Services</li> <li>• Economic Development</li> <li>• Parks Department</li> </ul>                               |
| <b>Extended:</b> functions that can be delayed for 30 days or more.   | <ul style="list-style-type: none"> <li>• Recreation and Arts</li> <li>• Kettering Volunteer Program</li> </ul>  |

## Authorities and References

### Authorities

#### Federal

Presidential Policy Directive 8 – *National Preparedness*

Presidential Policy Directive 40 – *National Continuity Policy*

Presidential Policy Directive 21– *Critical Infrastructure Security and Resilience*

“The Robert T. Stafford Disaster Relief and Emergency Assistance Act”, as amended, 42 U.S.C. Sections 5121, et seq.

18 United States Code 1385 (Posse Comitatus Act)

#### State

Ohio Constitution Article XVIII, Section 3

Ohio Revised Code 5502.24 (B) – Designation of Temporary Seats of State and Local Government in Event of Emergency

Ohio Revised Code Chapter 149.433, Exemption of security and infrastructure records

Ohio Revised Code Chapter 3750, State Emergency Response Commission

Ohio Revised Code Chapter 4937, Utility Radiological Safety Board

Ohio Revised Code, Sections 5502.21 through 5502.99, Emergency Management

Ohio Administrative Code, Rules, Chapter 3750, State Emergency Response Commission

Ohio Administrative Code, Rules, Chapter 4123:1-21-07 Fire Department Occupational Safety and Health

Ohio Administrative Code, Rules, Chapter 4501:3

Ohio Administrative Code, Rules, Chapter 4937

#### Local

City of Kettering Charter Article V, Section 5-7 – Absence or Disability of the Manager

City of Kettering Charter Article VI, Section 6-1 – Creation and Change of Departments

City of Kettering Administrative Code Section 143.01 – Department of Public Safety

City of Kettering Administrative Code Section 147.04- Homeland Protection and Emergency Management Division

City of Kettering Administrative Code section 151.01 – Delegation of Duties

Authority for the development and administration of this plan is contained in Section 5502.26 of the Ohio Revised Code; Article V, section 5.3 and Article VI, Section 6-1 of the Charter of the City of Kettering; Ordinance #151 - June 22, 1954 of the Village (City) of Kettering; Chapter 143.01 of the Codified Ordinances of the City of Kettering; to wit, that the municipality is directed to appoint a Director of Emergency Management; that the City of Kettering has established a

Division of Emergency Management as a part of the Department of Public Safety; and that the City Manager is Director of the Department of Public Safety. The City Manager has appointed the Chief of the Fire Department as the Director of Emergency Management. In addition, Ordinance #3995-05 – February 22, 2005, amends Chapter 147 of the Kettering Codified Ordinances to create within the Fire Department a Division of Homeland Protection and Emergency Management and authorizes the City Manager, after consultation with the Fire Chief, to declare and issue an Emergency Management and Operations Plan for the City of Kettering."

## References

### Federal

Federal Emergency Management Agency. (2018). *Continuity Guidance Circular*. Retrieved from <https://www.fema.gov/media-library/assets/documents/132130>

Federal Emergency Management Agency. (2018). *Continuity Assistance Tool (CAT)*. Retrieved from <https://www.fema.gov/media-library/assets/documents/158679>

U.S. Department of Homeland Security. (2015). *National Preparedness Goal, Second Edition*. Retrieved from <http://www.fema.gov/media-library/assets/documents/25959>

### Local

City of Kettering Fire Department. *City of Kettering Emergency Operations Plan. (2017)*

Montgomery County Office of Emergency Management. *Montgomery County Multi-Hazard Mitigation Plan. (2019)*

## Concept of Operations

It is the responsibility of local and county governments to ensure the preservation of our form of Government and continue performing its essential services. Additionally, City of Kettering's resiliency is directly related to the effectiveness of its continuity capability. The following sections outline the continuity capability for the City of Kettering and are designed to be an operational framework for all hazards that initiate a continuity of operations response.

It should be recognized that every situation will present different and unique challenges, complexities, and requirements. It should be recognized that this plan functions to provide guidance and should not be rigidly applied to every disaster or pre-planned event. The continuity event may necessitate that the specific details, tasks, assignments, and provisions contained in this plan be modified to effectively continue operations with the situation at hand.

This section outlines both the actions to take when the plan is implemented as well as the logistics support and resource requirements needed to implement and activate the plan. Logistics support and resource requirements necessary to implement the plan may include the alternate operating facility and capability, mission critical systems and resources, essential positions identified in the orders of succession, critical applications, vital records and communication resources.

### Phase I – Activation

This phase starts with the occurrence of an event or trigger that may necessitate the activation of continuity operations. Activities that are performed in this phase include:

- Evaluating the situation and deciding whether to activate your organization's continuity capability
- Alerting and notifying all organization personnel of the continuity event
- Notifying city leadership of the disruption
- If necessary, relocating to an alternate site
- If necessary, devolving
- Accounting for all personnel needed to perform the essential functions
- Identifying available leadership within the organization

### Decision Process

There are three main triggers that may prompt the need to activate the City of Kettering's continuity capability. These three triggers include:

- Losing access to the facility (in part or in whole),
- Losing services due to a reduction in the workforce, and
- Losing services due to equipment or systems failure.

After one or multiple of these triggers have been reached, the City of Kettering City Manager, or his or her designee, will decide to activate the continuity of operations capability and determine the appropriate continuity response actions.

Below is a decision matrix that may be utilized to support the decision-making process for continuity activation.



| Decision Matrix for Continuity of Operations Plan Implementation |   |   |
|--|---|---|
|  | Work Hours  | Non-Work Hours  |
| Event with Warning   | <ul style="list-style-type: none"> <li>Is the threat aimed at the facility or its surrounding area?</li> <li>Is the threat aimed at agency personnel?</li> <li>Are employees unsafe remaining in the facility and/or area?</li> </ul>   | <ul style="list-style-type: none"> <li>Is the threat aimed at the facility or its surrounding area?</li> <li>Is the threat aimed at agency personnel?</li> <li>Who should be notified of the threat?</li> <li>Is it safe for employees to return to work the next day?</li> </ul> |
| Event without Warning  | <ul style="list-style-type: none"> <li>Is the facility affected?</li> <li>Are personnel affected?</li> <li>Have personnel safely evacuated, or are they sheltering-in-place?</li> <li>What are instructions from first responders?</li> <li>How soon must the organization be operational?</li> </ul> | <ul style="list-style-type: none"> <li>Is the facility affected?</li> <li>What are instructions from first responders?</li> <li>How soon must the organization be operational?</li> </ul>   |

**Alert, Notification, and Implementation Process**

In the event that a disaster has occurred, contact will have to be made with all personnel from the City of Kettering. Contact information from all the organization’s personnel including cell numbers, home numbers, primary email, and alternate email, personal e-mail addresses, Code Red Listing and home addresses will be managed using the already established notifications systems. These notifications shall be made in accordance with City of Kettering Administrative Policy –Policy No. 602: Communications.

An attempt will be made to contact specific organization staff necessary to maintain the essential functions (continuity personnel) of the City of Kettering via home or cell phone numbers. If contact cannot be made, a(an) City of Kettering representative should try to make physical contact with that specific individual at his/her place of residence. An attempt will also be made to notify noncontinuity personnel of the organization’s status as well as the organization’s expectations for them.

Additionally, City leadership should be notified of the occurrence. Continuity personnel, noncontinuity personnel and City leadership will all need different information about the disruption. Please see Attachment #3: Communications Support for more guidance on information to include and steps to take when contacting these different audiences.

**Continuity Facilities**

“Continuity facilities” is a comprehensive term that refers to both an alternate operating capability and alternate facilities. An alternate operating capability refers to work arrangements such as telework and mobile work concepts. An alternate facility is an operating site with sufficient space, equipment, infrastructure systems and logistical support to maintain operations for 30 days. Alternate facilities should provide:

- Sufficient space and equipment;
- The capability to perform essential functions within 12 hours and up to 30 days;
- Reliable logistical support, services and infrastructure systems
- Consideration for health and safety for personnel
- Interoperable communications
- Computer equipment and software
- Badge/Security access

In the event that the City of Kettering Government Center, 3600 Shroyer Rd, Kettering, OH, is inaccessible, the City of Kettering may use an alternate facility. If an alternate facility will be utilized, the City of Kettering shall also consider any logistics that would be needed to support the execution of the essential functions. This would include:

- Needed equipment
  - Identify what equipment/resources is/are pre-positioned at the alternate site and how it will be maintained
  - Identify what equipment/resources will need to be transported to the alternate site
- Information technology (IT), audiovisual (AV) and telecommunications (Telecoms) support at the alternate site
  - Identify contact information for AV and IT support staff, if needed or different from site point of contact
- Site provisions such as parking, dining facilities, and security
  - Identify contact information for facilities and security, if needed or different from site point of contact

| Primary Alternate Facility  |  |
|---|--|
| <b>Name of Alternate Site</b>   | City of Kettering Fire Headquarters  |
| <b>Point of Contact Name</b>  | Fire Chief Mitch Robbins   |
| <b>Phone Number</b>   | (937)296-2489  |
| <b>Alternate Number</b>   | (937)298-4936  |
| <b>Complete Address of Site</b>   | 4745 Hempstead Station Dr. Kettering, OH 45429   |
| <b>Equipment on Site</b>  | <ul style="list-style-type: none"> <li>• Emergency Operations Center</li> <li>• Community Room</li> <li>• 400 KW Emergency Generator</li> <li>• Conference Rooms</li> <li>• Back-up Dispatch Center</li> </ul> |
| <b>Support Staff Contact Information (AV, IT, Telecoms, facilities, security, etc.)</b> | Reference City of Kettering’s Emergency Operations Plan (2017)   |

In addition, the City of Kettering also has an alternate operating capability for personnel fulfilling a key position which includes telework. Continuity personnel have the following equipment and systems that allow them to perform their essential positions remotely.

- Internet connectivity
- A laptop, tablet or desktop computer
- A mobile phone or preidentified landline

Mission Critical Systems & Resources

Mission critical systems and resources are those systems, software, and resources that are needed to perform the essential functions. See the below chart for the identified critical systems and resources and their redundancies.

| System/Resource Name                            | Current Location   | Alternate Location(s)/Alternative Methods                                      |
|---|--|--|
| Outdoor Warning Sirens                          | 1. AK1 VMC 2800 Acorn Dr.<br>2. AK2 Station 34 2700Patterson Rd<br>3. AK3 Montessori School of Dayton 2900 Acosta St<br>4. BK1 Indian Riffle Park 2755 E Stroop Rd<br>5. BK2 Polen Farm 5099 Bigger Rd<br>6. BK3 YMCA 4545 Marshall Rd B-30<br>7. CK1 Moraine Pumping Station 377 W David Rd<br>8. CK2 W Stroop/Dogwood Tr. 3939 Stonebridge Rd<br>9. DK1 Victory Christian Church 2275 S Patterson Blvd | City of Kettering Communications Center (3600 Shroyer Rd. Kettering, OH 45429) |
| ICS Forms                                       | <a href="https://training.fema.gov/icsresource/icsforms.aspx">https://training.fema.gov/icsresource/icsforms.aspx</a>  | ICS Forms Hardcopy   |
| Organization provided laptops/tablets/computers | Laptop/tablet/computer with each employee  | Administrative Support will determine distribution method                      |
| Organization provided Cell Phone                | Cell phones are with each employee   | MARCS radio and Personal cell phone  |

Phase II – Continuity Operations

During this phase, the organization will be accounting for all organization personnel; performing essential functions; establishing communications with supporting organizations and supported organizations, customers, and stakeholders; and preparing for the reconstitution of the organization.

Lines of Succession

Lines or orders of succession are a formal, sequential listing of organization positions that identify who is authorized to assume an essential role if personnel who perform the essential positions including senior officials are unavailable or unable to perform their responsibilities. The City of Kettering follows the already established line of succession from its organization chart. See Attachment #5 for the City of Kettering’s organizational chart. The below chart provides a complete order of succession that lists key leadership positions and other essential positions with successors three deep. If the leader is capable, he or she will communicate the change to appropriate staff. If a leader cannot be reached or is unavailable to fulfill his or her role, the next sequential successor will automatically assume the leadership role and make notification to appropriate staff.

| Essential Position Title | Successors                             |
|--------------------------|--|
| City Manager             | Assistant City Manager                 |
|                          | Finance Director                       |
|                          | Fire Chief                             |
| Finance Director         | Assistant Finance Director             |
|                          | Budget Manager                         |
|                          | Purchasing Manager                     |
| Fire Chief               | Assistant Fire Chief of Administration |
|                          | Assistant Fire Chief of Operations     |
|                          | Senior Battalion Chief                 |

|                         |                                   |
|-------------------------|-----------------------------------|
| Police Chief            | Captain of Support                |
|                         | Captain of Operations             |
|                         | Senior Lieutenant                 |
| Public Service Director | Assistant Public Service Director |
|                         | Street Manager                    |
|                         | Facility Manager                  |

**Delegations of Authority**

Delegations of authority identify who is authorized to act on behalf of senior leadership for specified purposes and ensures that designated individuals have the legal authority to carry out those responsibilities. If senior leadership is unavailable or unable to perform their responsibilities, the above-named successors are delegated the authority, in the order listed, to fulfill the roles of the Acting City Manager. Any delegations of authority that deviate from this structure or that have limitations are described below.

| <b>Delegations of Authority</b>                             |   |
|---|---|
| <b>Authority</b>  | <i>Authority vested in City of Kettering Charter and Codified Ordinances of the City of Kettering</i>   |
| <b>Individuals Delegated to Perform the Above Authority</b> | <ul style="list-style-type: none"> <li>• Assistant City Manager</li> <li>• Finance Director</li> <li>• Fire Chief</li> <li>• Police Chief</li> </ul>            |
| <b>Under What Circumstances</b>                             | Disability/Incapacity of City Manager   |
| <b>Limitations of Authority</b>                             | <i>If leadership is only temporarily unavailable for a short period of time/ less than 24 hours, the above authorities will not be delegated to successors.</i> |

**Critical Applications and Vital Records**

Vital records are those electronic and hardcopy documents, references, files that are needed to support the essential functions. Critical applications include information systems and data management software and equipment that support accessing and maintaining your vital records. Additionally, any record that would disrupt the organization’s operations and information flow, cause considerable inconvenience, or require replacement or recreation at considerable expense may be considered vital records. Identifying, protecting, and ensuring access to these records and applications enables the performance of essential functions and the reconstitution to normal operations. These documents include any emergency or continuity operating documents and rights and interest records.

To safeguard these critical applications and vital records, back up mechanisms and redundancies are in place. See the below information and chart for the measures taken. Additionally, City of Kettering utilizes anti-virus and host-based intrusion prevention software to protect all staff computers.

Back up mechanisms for accessing the organization’s vital records include having identified vital documents pre-positioned at an alternate site and remote access to the organization’s drive. The City of Kettering is able to remotely access the organization’s drive. When the City of Kettering is experiencing trouble accessing the production electronic record systems remotely, personnel may contact the Administrative Systems Director.

| Vital File, Record, or Database        | Form of Record (e.g. electronic, hardcopy, both) | Pre-positioned at Alternate Site | Hand Carried to Alternate Site | Backed up at a Third Location |
|--|--|----------------------------------|--------------------------------|-------------------------------|
| Continuity of Operations Plan          | Both   | Yes                              | Yes                            | Yes                           |
| Personnel Records (Essential)          | Both   | Yes                              | yes                            | No                            |
| Individual/City-wide File Share System | Electronic                                       | Yes                              | N/A                            | No                            |
| Insurance Contracts-Liability          | Both   | Yes                              | No                             | Yes                           |
| Insurance Contracts- Medical           | Both   | Yes                              | No                             | Yes                           |
| Payroll Records                        | Both   | No                               | Yes                            | Yes                           |
| Emergency Operations Plan              | Both   | Yes                              | Yes                            | Yes                           |

### Continuity Communications

After the initial notification is made to continuity personnel, noncontinuity personnel and city leadership, regular communication will need to be maintained with these groups. The Administrative Systems Director is responsible for ensuring that all communication services necessary to continue essential functions are maintained. The Community Information Manager is responsible for ensuring regular communication is established with personnel, a system is established to account for all personnel and a method is maintained for employees to submit inquires. The City Manager, or his or her designee, will be responsible for communicating with city leadership.

Stakeholders and suppliers will need to be notified of the disruption and informed of how the disruption affects them. The Finance Director is responsible for notifying suppliers of the disruption. The Finance Director is responsible for ensuring the disruption is communicated to stakeholders and a process is established for stakeholders to submit inquires. Additionally, if the Montgomery County Emergency Operations Center (MCEOC) is activated, regular updates will need to be communicated with the MCEOC. The Emergency Planning Officer is responsible for supplying status updates to the MCEOC utilizing IMS sit reps, phone or some other identified communication method.

Continuity personnel, noncontinuity personnel, City leadership, suppliers and stakeholders will all need different information. Please see Attachment #3: Communications Support for more guidance on information to include and steps to take when contacting these different audiences.

Critical Communication capabilities include those that will be used to: (1) Keep all employees informed of continuity activities; (2) coordinate employees in order to carry out the essential functions; (3) remain in contact with all stakeholders and suppliers; and (4) coordinate with the Montgomery County Emergency Operations Center (MCEOC) should be considered critical communications. By mirroring capabilities and IT systems used during day-to-day operations and choosing resilient communications and IT systems that are capable of operating under conditions that may involve power or other infrastructure disruptions, organizations further ensure the performance of essential functions in continuity situations.

Data and communication resources needed to support the execution of essential functions include:

- Email
- Cell phones
- Landline phones
- MARCS radios
- IMS/ICS Forms

### Devolution

Devolution is the capacity to transfer statutory authority and responsibility of essential functions from an organization's primary operating staff and facility to other employees and facilities. Devolution planning supports overall continuity

planning and addresses catastrophes and other all-hazards emergencies that render an organization's leadership and all personnel designated to perform essential functions unavailable or incapable of performing the essential functions from the primary site or any continuity facilities. During devolution, a different organization may perform your organization's essential functions until your organization can reassume its duties.

In the event that the City of Kettering's leadership, personnel designated to perform essential functions, primary facility and continuity facilities are unavailable, the essential functions will fall back on the Incident Management Team (IMT) until the City of Kettering may reassume their performance.

### Phase III – Reconstitution

Reconstitution is the process by which organizational personnel resume normal operations from the original or replacement facility. It embodies the ability of an organization to recover from an event that disrupts normal operations and consolidates the necessary resources so that the organization can resume its operations as a fully functional entity. Reconstitution involves the three main tasks of transitioning from continuity status to normal operations after the disruption, coordinating and planning for reconstitution regardless of the level of disruption and outlining the procedures for a smooth transition from a relocation site to a restored facility.

Reconstitution is a five-step process:

- Notify all personnel that the threat or actual emergency no longer exists.
- Provide instructions for the resumption of normal operations.
- Supervise the orderly return to the normal operating facility.
- Report agency/department status, as appropriate.
- Conduct an after-action review (AAR) of continuity operations and develop a corrective action plan based on the AAR.

### Human Resources

From initial notification about a continuity event through reconstitution, the Human Resources Department will support all staff. The Human Resources Department will:

- Contact and account for all staff;
- Notify all continuity personnel, may also be referred to as the emergency relocation group (ERG), of their activation and expected actions;
- Notify all noncontinuity personnel, may also be referred to as non-ERG staff, of the continuity event and their expected actions;
- May provide guidance to all staff on individual emergency preparedness actions that can be taken to prepare themselves and their families;
- Communicate City of Kettering human resource guidance for emergencies such as pay, leave, and other human resources flexibilities; and
- Communicate any known available emergency assistance.

### Roles & Responsibilities

All City of Kettering staff has a role in the organization's COOP effort. In addition, all City employees may be called upon to assist with the response and recovery effort after a disaster. Therefore, all City of Kettering staff will:

- Stay informed about the incident
- Provide needed contact information to receive alerts sent from the City of Kettering
- Follow the directions from leadership that guide the COOP response
- Assist with COOP plan development, maintenance, testing, training and exercises

City of Kettering Leadership will:

- Activate the COOP capability and direct the COOP response and recovery effort
- Ensure all human resource matters are addressed including all employee communication
- Maintain a notification system to communicate with City of Kettering employees
- Ensure COOP plan development, maintenance, testing, training and exercises

Kettering Fire Department will:

- Support City of Kettering COOP effort by providing an alternate facility when capable
- Assist with COOP plan development, maintenance, testing, training and exercises

Kettering Police Department will:

- Support the COOP by ensuring safety of City personnel and property
- Ensure Safety of community
- Protect community from civil unrest
- Protect property

## **Plan Maintenance**

The City of Kettering's COOP plan shall be reviewed annually. The Fire Chief is responsible for maintaining, updating, and distributing any changes to this plan as required based on improvement areas identified through drills, exercises, after action reviews, and/or changes to policy, mission, or organizational structure.

## **Test, Training, and Exercises**

An effective test, training, and exercise (TT&E) program facilitates the validation of an organization's continuity capabilities and its ability to perform essential functions during any emergency. Training familiarizes leadership and staff with the procedures and tasks they should perform when executing continuity plans and conducting essential functions. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities used to ensure continuance of essential functions and identify areas of improvement.

The City of Kettering will train new leadership and personnel on the organization's continuity capability and their respective roles and responsibilities. Additionally, the City of Kettering will test or exercise their plan at least once annually. Other training and exercises may supplement these as appropriate. The Fire Chief is responsible for initiating the training and annual exercise of the COOP plan.

## Attachment #1: Glossary and Acronyms

### Glossary

**Continuity of Operations** – An effort within individual organizations to ensure they can continue to perform their essential functions during a wide range of emergencies.

**Continuity Personnel/Staff** – The staff assigned the responsibility to continue essential functions from continuity facilities in the event that their primary operating facilities are threatened or have been incapacitated by an incident.

**Delegations of Authority** – The identification, by position, of the authorities for making policy determinations and decisions.

**Devolution** – Devolution requires the transition of roles and responsibilities for performance of essential functions through pre-authorized delegations of authority and responsibility. The authorities are delegated from an organization's primary operating staff to other employees internal or external to the organization in order to sustain essential functions for an extended period. Devolution is a continuity option instead of or in conjunction with relocation in order to ensure the continued performance of essential functions.

**Essential Functions** – A subset of all the organization's operational functions that encompass those critical areas of operation or functions that must be continued under any and all circumstances.

**Essential Positions** – Those positions needed to perform the essential functions and are therefore necessary or essential. The identified continuity personnel would fill and perform the role of the essential positions.

**Emergency Relocation Group (ERG)** – See continuity personnel/staff.

**Hazard** – A Hazard is a natural, technological or social phenomenon that poses a threat to people and their surroundings (in terms of both the natural and the built environment) that may cause the loss of life or injury, property damage, social and economic disruption or environmental degradation.

**Memorandum of Agreement/Understanding** – A memorandum of agreement/understanding (MOA/MOU) is a written document describing a cooperative relationship between two parties wishing to work together on a project or to meet an agreed upon objective. An MOA serves as a legal document and describes the terms and details of the partnership agreement.

**Non-Emergency Relocation Group (ERG) Staff** – See noncontinuity personnel/staff.

**Noncontinuity Personnel/Staff** – All staff that are not designated necessary to continue essential functions.

**Occupant Emergency Plan** – The Occupant Emergency Plan (OEP) is a short-term emergency response plan, which establishes procedures for evacuating buildings or sheltering-in-place to safeguard lives and property. Organizations may refer to this plan as the Emergency Response Plan or building closure plan.

**Order of Succession** – Orders of succession are a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.

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



**Resiliency** – The ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

## Acronyms

**AAR** – After-Action Review

**AV** – Audiovisual

**COG** – Continuity of Government

**COOP** – Continuity of Operations

**EOP** – Emergency Operations Plan

**ERG** – Emergency Relocation Group

**ERP** – Emergency Response Plan

**IT** – Information Technology

**MARCS** – Multi-Agency Radio Communication System

**MCEOC**- Montgomery County Emergency Operations Center

**MOA** – Memorandum of Agreement

**MOU** – Memorandum of Understanding

**OAC** – Ohio Administrative Code

**ORC** – Ohio Revised Code

**ORP** – Occupant Response Plan

**Non-ERG** – Non-Emergency Relocation Group

**Telecoms** – Telecommunications

**TT&E** – Test, Training, and Exercise

**VPN** – Virtual Private Network

## Attachment #2: Threat and Hazards Listing

### City of Kettering threat and Hazard Rankings

The table below is a chart from the 2019 Montgomery County Natural Hazard Mitigation Plan and the City of Kettering's Risk Analysis. Since the City of Kettering is located within Montgomery County, all hazards listed below may occur and impact the City of Kettering.

| Hazard Rankings |                                |   |
|-----------------|--------------------------------|---|
| Rank            | Hazard                         | Community, Vulnerability, Risk and Resiliency (CVR2) Overall Risk Score |
| 1               | Flood (Flash)                  | 53  |
| 2               | Hazardous Materials Incident   | 49  |
| 3               | Severe Winter Storm            | 48  |
| 4               | High Wind and Tornado          | 47  |
| 5               | Fire                           | 46  |
| 6               | Severe Thunderstorm            | 45  |
| 7               | Cyberattack                    | 44  |
| 8               | Structural Failure             | 39  |
| 9               | Utility Failure                | 38  |
| 10              | Major Transportation Incident  | 37  |
| 11              | Sinkhole/Karst                 | 36  |
| 12              | Public Health Emergency        | 35  |
| 13              | Violent Mass Casualty Incident | 34  |
| 14              | Infrastructure Failure         | 33  |
| 15              | Extreme Heat Incident          | 32  |
| 16              | Terrorism                      | 31  |
| 17              | Civil Disorder/Riot            | 29  |
| 18              | Extreme Cold Incident          | 28  |
| 19              | Dam/Levee Failure              | 25  |
| 20              | Earthquake                     | 24  |
| 21              | Radiological Incident          | 22  |
| 22              | Wildfire                       | 21  |
| 23              | Drought                        | 20  |

### Attachment #3: Communications Support

As discussed in the Alert, Notification, Implementation Process section found in Phase I – Activation and the Continuity Communications section found in Phase II – Continuity Operations, this attachment is meant to provide guidance on what information to include when notifying different groups. Please see below for the different issues or topics to address when notifying personnel, city leadership, suppliers, and stakeholders.

“Attention \_\_\_\_\_ staff located at \_\_\_\_\_. This message is to inform you that the (state the nature of the emergency/disruption event and status of the organization i.e. open, delayed opening, scheduled leave policy, telework, activating the continuity capability)

\_\_\_\_\_ Management is currently gathering details of the event and status of the \_\_\_\_\_ facility. Please (describe how the employee will report their status to the organization) for accountability purposes. Please remain at home on standby or in your current location (if you are on leave or standby) and await further instructions as the situation unfolds. \_\_\_\_\_ (e.g. your current supervisor) will contact you by Time (if known) with more information.”

#### Employees:

##### Continuity Personnel:

Considerations to address when notifying continuity personnel:

- The nature of the incident/what happened
- Status of the organization
- Whether the continuity capability is activated
- How the employee will communicate whether they are able to report/work remotely
- If they need to report to an alternate location, when they need to report, where to report, what they need to bring, logistics of where to park and how to access the facility, etc.
- If they are working remotely, summary of how to do so and who to contact if they are having trouble accessing the network remotely
- Compensation/how their pay is affected

##### Noncontinuity Personnel:

Considerations to address when notifying noncontinuity personnel:

- The nature of the incident/what happened
- Status of the organization
- Whether the continuity capability is activated
- How the employee will communicate their status (whether they were affected by the incident)
- Compensation/how their pay is affected/whether they should collect unemployment
- When they should report to work again
- Whether their job is affected

#### City Leadership:

Considerations to address when notifying city leadership:

- The nature of the incident/what happened
- Status of the organization
- The impact the disruption will have on the community (hazards and economy)
- The steps the organization is taking
- The number of employees affected
- Timeframe for being back up and running

### Suppliers:

Considerations to address when notifying suppliers or vendors:

- The nature of the incident/what happened
- Status of the organization
- When they should resume deliveries/supplying a service
- Where they should ship/supply their service (especially if operating at an alternate facility)

### Stakeholders:

Considerations to address when communicating with stakeholders such as customers or the public:

- Status of the service
- Timeframe for being back up and running
- How they will be affected

If the incident is serious the news media will also likely be on scene or calling to obtain information. The media is also one method that stakeholders may learn about the disruption. Below are considerations to address when communicating with the media:

- The nature of the incident/what happened
- Number of injuries or fatalities
- The estimated cost
- The cause of the incident
- Who is responsible
- Actions that are being taken to become operational and/or prevent it from happening again
- Status of the service
- Timeframe for being back up and running

Another method for communicating this information to stakeholders is through social media. Having pre-scripted messages and a designated representative who will disseminate information, monitor the platforms, and respond to inquiries are best practice guidelines for creating a more effective and efficient communication process. Please note, if there is a disaster that affects the city and the Emergency Operations Center is activated, all information released through public methods will be coordinated as one message through the established public information channels.

## **Attachment #4: Alternate Site Memorandum of Agreement/Understanding**

Currently the Alternate Site lies within the City of Kettering property and does not require a MOA or a MOU.

Attachment #5: City of Kettering Organizational Chart

# City of Kettering 2019 Organizational Chart

