

# Continuity of Operations Planning for Sheriffs

## Final Report

### Overview

In order to ensure that all of the nation's Sheriffs and their key partners have functional, all-hazards Continuity of Operations plans, the National Sheriffs' Association has developed this multi-faceted process that includes both the Continuity of Operations Planning for Sheriffs: Preparation and Reference Guide and the Continuity of Operations Planning for Sheriffs Planner's Workbook: Pandemic Version.

Recognizing that our Sheriffs have numerous legal and ethical responsibilities in their communities and that these responsibilities often impact a wide variety of other organizations, this process not only outlines a generic COOP for all-hazards events but also highlights contingency plans for specific incidents.

For learning purposes and to assist them in preparing for a pandemic event, this process focuses specifically on two sub-topics: pandemic events, and their impact on court operations. It is hoped that after establishing a baseline with these targeted topics, the COOP will be expanded to include all operational aspects of the organization and its interactions with all partner organizations.

This Continuity of Operations Planning for Sheriffs Preparation and Reference Guide is specifically designed to assist Sheriffs in building Continuity of Operations plans for their organizations. While this document is designed to provide important foundational information on the process of developing an all-hazards Continuity of Operations Plan (COOP), its companion piece, the Continuity of Operations Planning for Sheriffs: Planner's Workbook Pandemic Version, specifically includes materials and examples to assist Sheriffs in developing Continuity of Operations plans while working with judges and court administrators to plan, prepare for, and respond to a local pandemic event.

### Survey of Sheriffs

An informal survey of Sheriffs from throughout the United States revealed that the vast majority did not have Continuity of Operations Plans. Many agencies that responded positively and submitted samples actually provided Emergency Operations Plans instead of COOP documents.

Through a series of phone calls to follow up on the survey, it was determined that only the largest of agencies in the nation had operational COOPs. The vast majority of all other Sheriffs had either nothing, or had a working draft but not an operational document that could be implemented if the need arose. Many agencies stated that they believed that there was a need for such a plan, but simply had not dedicated the manpower or resources necessary for their staff to learn about Continuity of Operations or to develop an all-hazards plan.

Regarding a pandemic-based Continuity of Operations Plan, most officials agreed with the need to be prepared, but for the most part were satisfied to leave pandemic planning up to their local or state health or emergency management agency.

## **Document Development**

### The Preparation and Reference Guide

The Preparation and Reference Guide is a multi-module document designed as a precursor to the technical assistance program provided to agencies that want to develop, modify or update their Continuity of Operations Plans.

The first section of the Preparation and Reference Guide contains foundational information for Sheriffs on organizing a COOP planning team for their agency and highlights essential functions of team members.

The second section of this guide provides specific information on the development of the COOP plan, including details of each major component and its purpose. This guide will serve as a helpful tool to COOP planners, agency team members and partner organizations as they prepare to participate in the technical assistance program and Continuity of Operations Plan development.

The third and final section of this guide provides detailed information on forming an inter-agency COOP planning team and organizing a technical assistance meeting with COOP planning partners, to be facilitated by the National Sheriffs' Association. This technical assistance session (which will vary in size and scope depending on each individual agency) will assist sheriffs in developing a COOP in cooperation with the courts and other organization partners such as emergency management and health departments whose continuity of operations plans interact with the Sheriff's plan.

### Planner's Workbook: Pandemic Version

The Planner's Workbook: Pandemic Version is the second component of the Continuity of Operations Planning (COOP) for Sheriffs program. This document is a step-by-step planning guide that contains easy-to-use tools such as COOP templates that can be utilized by the Sheriff and their planning staff as they develop a COOP for their agency.

Although this document is a generic, all-hazards guide in order to enhance learning and reinforce standard COOP concepts, the Planner's Workbook also contains general information on a potential pandemic event and utilizes pandemic examples in each template and throughout the workbook. For learning purposes and to assist in preparing for a pandemic event, this process focuses specifically on two sub-topics: pandemic events, and their impact on court operations. Throughout the workbook, specific pandemic information and court operations examples are highlighted in **red** color and *italic* font. It is hoped that the two sub-topics will provide specific examples that Sheriffs can utilize when building both their pandemic plan as well as their all-hazards COOP.

## **Pre-Pilot Site**

Prior to NSA staff officials visiting each pilot site, NSA provided the locations with multiple documents on Continuity of Operations Planning and Pandemic Planning. These documents contained several hundreds of pages of information, references, appendices, etc. It was envisioned that officials from these agencies would review the materials as a precursor to the pilot site visit. Upon questioning Sheriff's representatives, NSA officials learned that not a single agency had time to review the materials and additionally learned that officials felt the materials were so overwhelming that they would be better off just waiting for NSA to personally review necessary items that would be required for the project.

In the final analysis, NSA staff members determined that, in general, the Sheriffs did not have the manpower or resources to dedicate to what they believed was an important (albeit somewhat overwhelming) task of developing a Continuity of Operations Plan for their agencies. What they requested and would ultimately utilize were simplified templates that allowed them to begin the process of building an all-hazards Continuity of Operations Plan that they could then expand upon as time and resources justified.

## **Pilot Site Process**

The pilot site process developed by the National Sheriffs' Association for the Continuity of Operations Planning for Sheriffs course consists of five primary elements: Orientation, Internal Plan Development, Partnership Meeting, External Alignments, and Process Evaluation.

The first phase of the process consists of an NSA-facilitated orientation session for the Sheriff and his/her Command Staff. During this orientation, Sheriff's personnel utilize the Continuity of Operations Preparation and Reference Guide in order to become familiar with the foundational concepts of developing a COOP Plan, learn how the complexities of an extended pandemic event or other prolonged tragedy may impact their organization, learn a specific methodology for bringing together their partner agencies to achieve an alignment of each other's COOPs, and finally are briefed on completing the evaluation component of the program.

Utilizing the Continuity of Operations Planning for Sheriffs Workbook and its preformatted, planning templates, assigned Sheriff's Office personnel work to develop both an all-hazards and pandemic-oriented Continuity of Operations Plan for their agency. Personnel perform tasks such as defining essential functions, researching statutes, reviewing policies and procedures, and locating alternate operational facilities.

Once the Sheriff's Office has completed its COOP, the third phase of the process is to bring together all potential partner organizations that affect or are affected by the Sheriff's COOP. In a session hosted by the Sheriff and facilitated by NSA, external agencies such as courts, schools, vendors, Health Department, and Emergency Management officials are brought together to discuss their individual COOPs and to outline a methodology and timeframe for aligning their plans.

The fourth phase of the pilot site process features the actual alignment process with external agencies where policies and procedures are drafted, modified, or adapted to meet specific criteria of all agencies. During this phase, all COOPs are aligned to ensure that all agencies can continue their essential functions.

The final phase of this process is evaluation. The National Sheriffs' Association has developed an evaluation document that, when completed by participating agencies, will allow the NSA to modify and enhance its Continuity of Operations Planning Course and export it to Sheriffs' Offices throughout the country to increase their capacity and ensure that essential functions are delivered to the community.

### **Pilot Sites**

To date the National Sheriffs' Association has surveyed Sheriffs' Offices nationwide to determine the level of Continuity of Operations Planning, and specifically Pandemic Planning, in their agencies.

Once developed, these documents were delivered to three pilot site locations: LaFourche Parish, Louisiana; Story County, Iowa; and Pinal County, Arizona. NSA representatives met with selected officials from each agency, reviewed the materials, and answered questions. Each agency was then tasked with building a Pandemic-based Continuity of Operations Plan and returning a program questionnaire with comments regarding the process and recommended changes and improvements. To date, two of the three pilot sites have completed their plan and returned the questionnaire with recommendations.

### **Technical Assistance Locations**

NSA staff modified the planning documents and is now staffing out the newly revised versions at four technical assistance sites: Newport News, Virginia; Calhoun County, Alabama; Douglas County, Colorado; and Yates, New York.

Each technical assistance site was provided with the Continuity of Operations Planning for Sheriffs: Preparation and Reference Guide; Continuity of Operations Planning for Sheriffs: Planner's Workbook Pandemic Version; Continuity of Operations Planning for Sheriffs PowerPoint presentation; the BJA Continuity of Court Operations: Steps for COOP Planning; a redacted version of an actual Sheriff's COOP; and an NSA evaluation form. Technical Assistance sites were provided information both in written form and electronically and were advised that they could seek additional assistance throughout their planning process if needed.

### **Evaluations**

Each pilot site and all technical assistance locations were asked to complete a COOP Pilot Site Evaluation Form. This document, which can be found in the appendix, asked representatives to complete the form and provide input on the usefulness of items provided and suggestions for changes or modifications to documents or supporting materials.

Agencies that returned evaluations rated both the Guide and the Workbook as useful or extremely useful, and across the board stated that they believed these documents would assist a typical Sheriff's Office in developing an operational COOP. On a majority of the evaluations, the templates and their pandemic examples were listed as the most beneficial aspects of the planning tools, while one agency listed everything in the package under the most useful category.

Overall, the least helpful section was the Pandemic Overview. Most respondents stated that they had already received some level of pandemic training that provided them with a working knowledge of the topic and its potential effect on their operations.

### **Recommendation**

Based on the evaluations that were received and the comments from agency officials working with NSA to develop their Continuity of Operations Plans, it is recommended that this project continue to be funded in an effort to assist all Sheriffs throughout the country to develop all-hazards Continuity of Operations Plans and specifically plans that address pandemic events. It is further recommended that NSA receive additional funds to produce and replicate a Continuity of Operations Planning for Sheriffs Toolkit with all necessary forms, templates, documents, presentations and supporting materials; to provide funds for distribution of the COOP Toolkit to all Sheriffs; and funding to continue to provide technical assistance services to our Sheriffs who request and require this assistance.

# Continuity of Operations Planning for Sheriffs

## PREPARATION AND REFERENCE GUIDE



Draft



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*NOTE: This document is in draft form. The materials presented are being pilot tested through a series of training sessions with local sheriffs. Following these sessions the document will be prepared in final form.*

*This curriculum and workbook were prepared by the National Sheriffs Association under a subcontract with American University under the auspices of the Bureau of Justice Assistance National Training and Technical Assistance Project at American University. This project is supported by Grant No. 2005-DDBX-K053, awarded to American University by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. Points of view or opinions in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.*

## OVERVIEW

In order to ensure that all of the nation's Sheriffs and their key partners have functional, allhazards Continuity of Operations plans, the National Sheriffs' Association has developed this multifaceted process that includes both the [Continuity of Operations Planning for Sheriffs: Preparation and Reference Guide](#) and the [Continuity of Operations Planning for Sheriffs Planner's Workbook: Pandemic Version](#).

Recognizing that our Sheriffs have numerous legal and ethical responsibilities in their communities and that these responsibilities often impact a wide variety of other organizations, this process not only outlines a generic COOP for allhazards events but also highlights contingency plans for specific incidents. For learning purposes and to assist them in preparing for a pandemic event, this process focuses specifically on two sub-topics: pandemic events, and their impact on court operations. It is hoped that after establishing a baseline with these targeted topics, the COOP will be expanded to include all operational aspects of the organization and its interactions with all partner organizations.

This [Continuity of Operations Planning for Sheriffs Preparation and Reference Guide](#) is specifically designed to assist Sheriffs in building Continuity of Operations plans for their organizations. While this document is designed to provide important foundational information on the process of developing an allhazards Continuity of Operations Plan (COOP), its companion piece, the [Continuity of Operations Planning for Sheriffs: Planner's Workbook Pandemic Version](#) specifically includes materials and examples to assist Sheriffs in developing Continuity of Operations plans while working with judges and court administrators to plan, prepare and respond to a local pandemic event.

Continuity of Operations Planning for Sheriffs is presented by the National Sheriffs' Association in cooperation with American University, funded by the Bureau of Justice Assistance. Information in this guide was provided by the Bureau of Justice assistance (BJA), the U.S. Department of Health and Human Services (HHS), and the Centers for Disease Control and Prevention (CDC), with supplemental court safety information provided by the Community Safety Institute (CSI) and the Court Officers' and Deputies' Association (CODA).

## INTRODUCTION

All governmental entities that provide essential services to the public should have Continuity of Operations Plans. A Continuity of Operations Plan (COOP) ensures the performance of their essential functions during any emergency or situation that may disrupt normal operations and leave office facilities damaged or inaccessible. While an Emergency Operations Plan (EOP) might be implemented during an allhazards incident such as a hostage situation or a fire, a COOP would be utilized only when facilities or leadership have been disrupted to the extent that essential functions could not be provided.

The Continuity of Operations Planning (COOP) for Sheriffs program is comprised of two essential elements, the Preparation and Reference Guide and the Planner's Workbook: Pandemic Version.

### The Preparation and Reference Guide

The Preparation and Reference Guide is a multimodule document designed as a precursor to the technical assistance program provided to agencies that want to develop, modify or update their Continuity of Operations Plans.

Section 1 of the Preparation and Reference Guide contains foundational information for Sheriffs on organizing a COOP planning team for their agency and highlights essential functions of team members.

The second section of this guide provides specific information on the development of the COOP plan, including details of each major component and its purpose. This guide will serve as a helpful tool to COOP planners, agency team members and partner organizations as they prepare to participate in the technical assistance program and Continuity of Operations Plan development.

The third and final section of this guide provides detailed information on forming an interagency COOP planning team and organizing a technical assistance meeting with COOP planning partners to be facilitated by the National Sheriffs' Association. This technical assistance session, which will vary in size and scope depending on each individual agency, will assist sheriffs in developing a COOP in cooperation with the courts and other organization partners such as emergency management and health departments whose continuity of operations plans interact with the sheriffs.

## Planner's Workbook: Pandemic Version

The Planner's Workbook: Pandemic Version is the second component of the Continuity of Operations Planning (COOP) for Sheriffs program. This document is a stepbystep planning guide that contains easytouse tools such as COOP templates that can be utilized by the Sheriff and their planning staff as they develop a COOP for their agency.

Although this document is a generic, allhazards guide in order to enhance learning and reinforce standard COOP concepts, this planner's workbook also contains general information on a potential pandemic event and utilizes pandemic examples in each template and throughout the workbook. For learning purposes and to assist them in preparing for a pandemic event, this process focuses specifically on two subtopics: pandemic events and their impact on court operations. Throughout the workbook, specific pandemic information and court operations examples are highlighted in red color and italic font. It is hoped that the two subtopics will provide specific examples that Sheriffs can utilize when building both their pandemic plan as well as their allhazards COOP.

How to use these documents:

Step #1 The Sheriff or his/her designated COOP planner should review Section 1 of the Preparation and Reference Guide to become familiar with the benefits of COOP planning, the process and necessary partnerships for successful COOP plans. This section addresses both the Sheriff's intraagency team that performs planning for the Sheriff's Office as well as the interagency team that will plan for county operations that interact with the Sheriff's Office such as courts, probation, etc.

Step #2 – The COOP Planner should review Section 2 to learn the foundational elements of Continuity of Operations Planning in order to establish a baseline of knowledge. Section 2 also contains basic information on a pandemic event. This is important since a pandemic is the example that is utilized to help illustrate the various components of a COOP. In addition to the information contained in the Preparation and Reference Guide a separate PowerPoint presentation has been included in order to share this important information with other internal members of the planning team or external partner agencies.

Step # 3 – The COOP Planner should review Section 3 of the Preparation and Reference Guide in order to plan to host a NSA facilitated technical assistance COOP planning program or their own multiagency, COOP planning session.

Step # 4 – Once all of the COOP planning partners have gathered for the facilitated session or have assembled for their own planning purposes all participants should utilize the Planner’s Workbook: Pandemic Version. Although each template is generic and designed for an allhazards approach to COOP this workbook specifically uses a pandemic event to illustrate some of the myriad topics that planners are faced with as they build practical plans for their agencies.

Step # 5 When COOP planners have completed the Planner’s Workbook: Pandemic Version they may want to review other types of allhazards incidents such as natural disasters, terrorist’s attacks and other types of major incidents to ensure that their plan adequately addresses each of these types of emergencies.

Step # 6 – Once developed, Continuity of Operations Plans must be constantly updated with new and relevant information. A member of the planning team should be assigned to periodically review information for changes and make the appropriate modifications to the plan.

## SECTION I – COOP BASICS

### BENEFITS, PROCESS AND PARTNERSHIPS

In this section, we will present information on the benefits of COOP planning, the process needed to develop a COOP plan, and what partnerships need to be cultivated during the planning process.

Although each agency will be responsible for developing their own continuity of operations plan, during the planning process it will become clear to agency planners and executives that they will have to coordinate their efforts with their partners if they are to succeed in delivering essential functions during an allhazards incident. Because the duties and responsibilities of the Sheriff impact almost every sector of county government it is suggested that the Sheriff take the leadership role in forming and managing this county-wide initiative.

Benefits: Since the primary purpose of having a continuity of operations plan is to continue essential services, some of the benefits of this process include:

- Improved public safety for the citizens during an allhazards incident
- Improved communications between partners (sheriffs, courts, public health agencies, etc.)

- Improved response from all partner agencies

**Process:** Prior to the implementation of the COOP planning process, the following foundational groundwork must be established by the Sheriff and agency leaders who are overseeing the project. Agency executives should be committed to the project and ensure that their organizations have buyin and are willing to support the initiative. These executives will also need to designate a primary COOP Planner, appoint COOP Planning Team members, select supporting staff, and approve a budget for the project and a timeline for completion.

**Leadership:** In addition to their previously mentioned duties, agency leaders are responsible for planning and ensuring that the agency is capable of carrying out each respective function of the COOP plan. The primary responsibilities include:

- Planning
- Activation
- Reconstitution

Each of these responsibilities will be discussed in detail later in this guide.

**Agency Buyin:** The first step in the Continuity of Operations Plan (COOP) planning process is to gain the agency buyin and acceptance of the project from all affected entities in the Sheriff's Office (jails, courts, investigations, patrol) and external agencies such as the courts and Health Department. In this phase, all parties are informed of the project and agree to provide certain basic elements that will facilitate the project and ensure its successful institutionalization in their public safety system. These basic elements include:

- Designation of a primary COOP Planner
- Establishment of COOP Planning Team
- Formulating agency policy to support planning
- Identifying essential functions
- Provide budgetary and other support functions
- Administration support

**Planning Team Formation:** Agency officials should designate a primary COOP Planner. The COOP Planner is the individual who is ultimately responsible for the completion of the COOP plan. The COOP planner develops the goals, objectives and milestones for the project, monitors the budget and coordinates plan development. This person should:

- have experience in emergency planning

- Have knowledge of the Sheriff's operations including their Emergency Operations Plans (EOPs) Agency leaders should also select COOP Team members and supporting staff. Team members will work directly with the primary COOP planner, while additional staff will provide the administrative support necessary for the project.

Prior to working with other agencies, the Sheriff must first form an intraagency COOP Planning Team. This team will develop the initial COOP plan for the Sheriff's Office prior to or in conjunction with the development of interagency COOP plans that depend on all partner organizations for success.

Members of the COOP Planning team will vary from jurisdiction to jurisdiction, but should (if possible) include representatives from the following areas:

- Sheriff Office operations
- Jail operations
- Court operations
- Information technology
- Communications
- Human Resources
- Logistics and Facilities
- General Counsel

Planning team members may also consult with their respective offices to provide input and information regarding policies, procedures, operations or other key items beneficial to the establishment of a realistic plan.

## SECTION II – COOP REFERENCE GUIDE

The COOP Reference Guide and its accompanying PowerPoint presentation are designed to give COOP planners, both intraagency and interagency, a basic understanding of the terms, concepts and general information required for the proper development of a Continuity of Operations Plan. This section also contains foundational information on a pandemic influenza, its possible impacts on the workforce and some precautionary measures that can be taken by individuals and organizations to limit or reduce the spread of the event and its effect on our communities.

This overview will provide a baseline of knowledge for COOP planners but in no way is intended as an exhaustive analysis of the topic. COOP

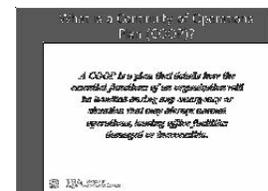
planners are strongly urged to seek out additional information and resources such as the Bureau of Justice Assistance (BJA) “Preparing the Justice System for a Pandemic Influenza” and other documents listed in the references section of this publication that will assist them in preparing their agencies plans.

Additionally, as COOP planners complete the Planner’s Workbook: Pandemic Version they may have to independently research additional information and topics such as legal authority to declare emergencies or statutory lines of succession in order to properly complete the various sections of the workbook and ultimately their plans.

Once COOP planners have reviewed the COOP Reference Guide and other ancillary information they will be prepared to begin work on their own intraagency plan or attend the NSA COOP Technical Assistance program described in Section III.

#### WHAT IS A CONTINUITY OF OPERATIONS PLAN (COOP)?

A Continuity of Operations Plan (COOP) is a plan that details how the essential functions of an organization will be handled during any emergency or situation that may disrupt normal operations, leaving office facilities damaged or inaccessible.



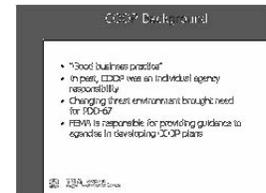
While an Emergency Operations Plan (EOP) might be implemented during an allhazards incident such as a hostage situation or a fire, a COOP would be utilized only when facilities or leadership have been disrupted to the extent that essential functions could not be provided.

One example might be if a pandemic incident occurred in the jail affecting large numbers of employees, rendering the facility (or major portions of it) uninhabitable and requiring temporary relocation of inmates and staff.

It is important to remember that a COOP is a living document that must be updated on a continuing basis. As elements of an organization change, the COOP capabilities must change as well to reflect those changes.

## COOP BACKGROUND

Most businesses and federal agencies recognize planning for the continuity of operations during an emergency as a good business practice. Having a COOP is important to protecting the welfare of employees, ensuring that important documents and systems are not lost, and that the agency or business can continue to serve the public even after an emergency.



For many years, COOP planning was left to the responsibility of individual agencies, and was primarily for response to organizationally specific emergencies. There was little guidance on what content should be included in the plan, or on interagency coordination.

However, the environment has changed in the past several years, bringing new threats such as terrorist attacks (including weapons of mass destruction), and technological emergencies. This changing threat environment has raised agency awareness of the need for COOP capabilities that enable agencies to continue their essential functions across a variety of emergencies.

## COOP OBJECTIVES

The purpose of COOP planning is to ensure that the capability exists to continue essential agency functions across a variety of potential emergencies.



A COOP should be written with the following objectives in mind:

- Ensuring the continuous performance of an agency's essential functions/operations during an emergency
- Protecting essential facilities, equipment, records and other assets
- Reducing or mitigating disruptions to operations
- Reducing danger to health or loss of life, minimizing damage and losses; and
- Achieving a timely and orderly recovery from an emergency and resumption of full service to stakeholders

## PLANNING CONSIDERATIONS

It is important that a viable COOP capability:

- Be maintained at a high level of readiness
- Be capable of implementation both with and without warning
- Be operational no later than 12 hours after activation
- Maintain sustained operations for up to 30 days
- Take maximum advantage of existing infrastructures

It is suggested that agencies develop and maintain their COOP capabilities using a multiyear strategy and program implementation plan. The plan should outline the process that the agency will follow to designate the essential functions and resources, define short and long term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential problems, and establish planning milestones.

## ELEMENTS OF A VIABLE COOP

At a minimum, a viable COOP should contain the following elements (which will be discussed in the next several slides):

- Plans and procedures
- Identification of essential functions
- Delegations of authority
- Orders of succession
- Alternate facilities
- Interoperable communications
- Vital records and databases
- Tests, training and exercises

## PLANS AND PROCEDURES

A COOP should be developed and documented so that when it is implemented, it will provide for continued performance of essential functions under all circumstances.

At a minimum, the plan should:

- Delineate essential functions and activities
- Outline a decision process for determining appropriate actions in implementing COOP plans and procedures

- Establish a roster of fully equipped and trained emergency personnel with the authority to perform essential functions and activities
- Include procedures for employee advisories, alerts and COOP activation, with instructions for relocation to pre-designated facilities, with and without warning, during duty and nonduty hours. This includes providing for personnel accountability throughout the duration of the emergency, and providing for attaining operational capability within 12 hours.
  
- Establish reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations for up to 30 days

### Maximum Capability

- Readiness capability
- Implemented on 180k nodes
- Operational within 12 hours
- Capable of sustaining for 30 days
- Taking maximum advantage of existing infrastructures



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### Elements of a viable C3P

- Plans and procedures
- Identification of essential functions
- Delegation of authority
- Orders of succession
- Alternate facilities
- Interoperable communications
- Vital records and database
- Tests, training and exercises



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### Plans and Procedures

- *At a minimum, the plan should:*
- Define essential functions and activities
- Outline a decision process
- Establish a roster of trained emergency personnel
- Include procedures for advisors, alerts and OCP activation, with instructions for relocation
- Establish methods to conserve essential functions and sustain operations



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- Identify all functions performed by the agency, then determine which must be continued under all circumstances
- Prioritize these essential functions
- Establish staffing and resource requirements needed to perform essential functions
- Identify missioncritical data and systems necessary to conduct essential functions
- Defer functions not essential to immediate agency needs until additional personnel and resources become available
- 

#### IDENTIFICATION OF ESSENTIAL FUNCTIONS

The identification of essential functions is the basis of COOP planning.

At the federal level, essential functions are defined as those functions that enable Executive Branch agencies to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency. Although not all of these factors apply to the office of Sheriff, there are several factors which do apply.

In order to identify essential functions, organizations should:

- Integrate supporting activities to ensure that essential functions can be performed as efficiently as possible during emergency relocation

detailing the limits of authority and accountability  
Explicitly state the authority of designated successors to  
exercise direction, including any exceptions, and the  
successor's authority to redelegate functions and activities  
as appropriate

Indicate the circumstances under which delegated authorities would become effective, and when they would terminate. Usually, predetermined delegations of authority would take effect when the normal authority is rendered unavailable, and would terminate when normal authority is resumed.

Ensure that officials who may be expected to assume authority in an emergency are trained to carry out their emergency duties

Specify responsibilities and authorities of individual representatives designated to participate as members of Sheriffs' emergency response teams

#### Identification of Essential Functions

- Determine which functions must be continued under all circumstances
- **Provide these essential functions**
- Establish staffing and resource requirements
- Identify data and systems necessary for these functions
- **Defer functions not essential to immediate agency needs**
- Integrate supporting activities



- Establish an order of succession. A designated official will serve until relieved, or until the Judge or Sheriff is able to resume responsibilities.
- Establish orders of succession to other key leadership positions
- Identify any limitation of authority resulting from delegation of authority to others
- Describe orders of succession by positions or titles rather than by names of individuals, since individuals in those positions may change
- 

#### ORDERS OF SUCCESSION

Orders of Succession to key positions are also an essential part of a COOP.

Orders should be of sufficient depth to ensure that the agency is able to perform essential functions during any emergency. It is strongly encouraged that successors be geographically dispersed, to ensure that succession of responsibility can occur during any type of emergency. For example, normally the successor to the Sheriff position should not be located in the same geographic location as the actual Sheriff.

When establishing the COOP, each Sheriff should:

- Establish the rules and procedures designated officials are to follow when facing the issues of

succession in office in emergency situations  
Include in succession procedures the conditions  
under which succession will take place; the method  
of notification; and any limitations on authorities

Assign successors among the emergency teams established to perform essential functions, to ensure that each team has an equitable share of duly constituted leadership

Conduct orientation programs to prepare successors for their emergency duties

Include the orders of succession in the agency's vital records, and revise as necessary. Revised versions should be distributed promptly.

#### Organizational Structure

Establish roles and identify functions  
Describe by positions or titles  
Rules, procedures and notification  
Conditions and limitations  
Assignment of resources  
Orientation

- Immediate capability to perform essential functions under crisis conditions
- Sufficient space and equipment to sustain the relocating population. Since the need to relocate may occur without warning, or access to normal operating facilities may be unexpectedly denied, agencies are encouraged to preposition and maintain minimum essential equipment for continued operations at the alternate operating facilities
- Interoperable communications with all identified staff and the public
- 

#### ALTERNATE FACILITIES

The designation of alternate facilities is another vital part of a COOP.

All Sheriffs must designate these facilities and must prepare their personnel for the possibility of unannounced relocation of essential functions and/or COOP contingency staff to these facilities. Relocation sites should be capable of supporting operations in a threatfree environment.

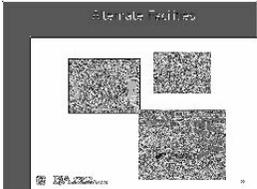
It is suggested that existing offsite offices be used as alternate facilities if possible, but external sources may be used as well. In fact, in acquiring and equipping alternate facilities, sheriffs are encouraged to consider cooperative agreements and promote the sharing of identified alternate facilities. Alternate facilities should provide:

- Reliable logistical support, services and infrastructure systems, including water, electrical

power, heating and air conditioning, etc. Ability to sustain operations for up to 30 days

Consideration for the health, safety, and  
emotional wellbeing of relocated persons

Appropriate physical security and access controls



## CRITICAL COMMUNICATIONS

In order for law enforcement operations to be successful at an alternate facility, critical communications systems must be available and redundant. These communications systems must support connectivity to the other agencies, critical staff, and the public. When determining communications requirements for an emergency situation, agencies should take into consideration services such as secure and/or nonsecure voice, fax and data connectivity, Internet access, and email.

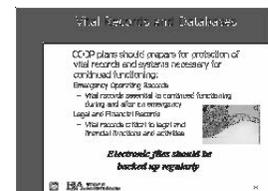


Interoperable communications should provide:

- Capability adequate for the organization's essential functions and activities
- Ability to communicate with COOP contingency staff and management
- Ability to communicate with other agencies and emergency personnel
- Access to other data and systems necessary to conduct essential activities and functions

## VITAL RECORDS AND DATABASES

A successful COOP must also provide for the identification, protection and ready availability of electronic and hardcopy documents, references, records, and information systems needed to support essential functions under any type of emergency. Sheriff's personnel must have access to and be able to use these records and systems in conducting their essential functions.



Records will often fall into two categories: *emergency operating records*, and *legal and financial records*.

Emergency operating records are defined as vital records (regardless of media) essential to the continued functioning of an organization during and after an emergency. These types of records include emergency plans and directives; orders of

succession; delegations of authority; staffing assignments; and related records of a policy or procedural nature that provide staff with guidance and information resources necessary for conducting operations during an emergency, and for resuming formal operations at the conclusion of the emergency.

Legal and financial records are defined as vital records (regardless of media) critical to carrying out an organization's essential legal and financial functions and activities, and protecting the legal and financial rights of individuals directly affected by its activities. These are often records that have such high value that their loss would significantly impair the conduct of essential agency functions, having an effect on the legal or financial rights or entitlements of the organization or individuals. These records include accounts receivable; official personnel files; Social Security, payroll, retirement and insurance records; and property management and inventory records.

It is important that agencies regularly back up all electronic files and keep up to date duplicate copies of records. Backups and duplicates should be kept in a location different than the original files and records. This will ensure that records and files are not lost in an emergency.

#### TESTS, TRAINING AND EXERCISES

It is extremely important that Sheriffs conduct tests, training and exercises of their COOP in order to demonstrate and improve their ability to execute the plan.

Training familiarizes contingency staff members with the essential functions that they may have to perform in an emergency. Tests and exercises help to validate and identify shortfalls in specific aspects of the COOP, policies, procedures, systems and facilities used in response to an emergency situation. Periodic testing also ensures that equipment and procedures are maintained in a constant state of readiness.

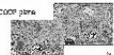
Tests, training and exercise plans should provide for:

- Annual individual and team training of Sheriff COOP contingency staff and emergency personnel, to

ensure currency of knowledge and integration of

#### Plan, Train, and Exercise

- All Briefing Officers should plan and conduct tests and training relating to COOP plans
- Plans should provide for:
  - Annual testing to ensure correct knowledge
  - Annual testing and exercise to assess performance
  - Quarterly testing of notification procedures
  - Regular consultation with regard to alternate operating facility
  - Joint exercising of COOP plans

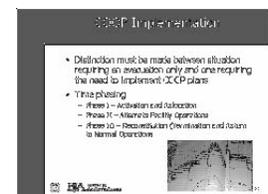


skills necessary to implement COOP plans and carry out essential functions

- Annual internal agency testing and exercising of COOP plans and procedures, to ensure the ability to perform essential functions and operate from designated alternate facilities
- Quarterly testing of alert and notification procedures and systems for any type of emergency
- Refresher orientation for COOP contingency staff arriving at an alternate operating facility. The orientation should cover the support and services available at the facility, including communications and information systems and administrative matters such as supervision, security, and personnel policies.
- Joint exercising of COOP plans, when applicable and feasible

## COOP IMPLEMENTATION

Once an emergency event occurs, the distinction must be made between a situation requiring evacuation only, and one requiring the need to implement COOP plans. For example, a fire may render a facility unavailable for several hours, but will not require the implementation of a COOP. However, an explosion or terrorist attack may make a facility unavailable for a long period of time, requiring contingency plans to be put into action.



Sheriffs must develop an executive decision process that allows for a review of the emergency and the determination of the best course of action for response and recovery.

One approach to ensuring a logical sequence of events in implementing a COOP is time phasing.

The following few slides will give a suggested phased approach for COOP activation and relocation, alternate facility operations and reconstitution. Time is broken down into three phases:

- Phase I Activation and relocation
- Phase II Alternate facility operations
- Phase III Reconstitution

## PHASE I – ACTIVATION AND RELOCATION (012 HOURS)

Phase I would take place from the time the emergency occurs to 12 hours after the emergency.

The following steps are suggested:

- Notify alternate facility manager(s) of activation and actual relocation requirements
- Activate plans, procedures and schedules to transfer activities, personnel, records and equipment to alternate operating facilities
- Notify initial COOP contingency staff to relocate
- Instruct all other emergency and nonemergency personnel on what they are to do
- Assemble necessary documents and equipment required to continue performance of essential operations at alternate operating facilities
- Order equipment/supplies, if not already in place
- Transport documents and designated communications and other equipment to the alternate operating facilities, if applicable
- To the extent possible, secure the normal operating facility and nonmovable equipment and records
- Continue essential operations at the normal operating facility (if available) until the alternate facility is available
- Advise the alternate operating facility (or facilities) manager on the status of followon personnel



## PHASE II – ALTERNATE FACILITY OPERATIONS (12 HOURS – TERMINATION)

Phase II encompasses operations at the alternate facility, from 12 hours after activation of the COOP to termination of COOP procedures.

The following steps would apply in Phase II:

- Provide guidance to other key staff and nonemergency employees
- Identify replacements for missing personnel, and request augmentation as necessary
- Begin full execution of essential operations at the alternate operating facilities
- Notify appropriate agencies and media of the



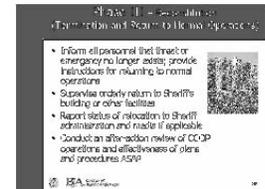
Sheriff's alternate location, operational and communications status, and anticipated duration of relocation if known

- Develop plans and schedules to phase down alternate facilities' operations and return of activities, personnel, records, and equipment to the agency when appropriate

### PHASE III – RECONSTITUTION (TERMINATION AND RETURN TO NORMAL OPERATIONS)

Phase III occurs once the COOP procedures are terminated and operations return to normal. The following steps would apply in Phase III:

- Inform all personnel, including nonemergency personnel, that the threat or emergency no longer exists, and provide instructions for returning to normal operations
- Supervise an orderly return to the normal operating facility or movement to other temporary or permanent facilities
- Report status of relocation to Sheriff administration and media if applicable
- Conduct an afteraction review of COOP operations and the effectiveness of plans and procedures as soon as possible. Areas in need of revision should be identified and a remedial action plan should be developed.



## PANDEMIC INFLUENZA OVERVIEW

### MODULE I: OVERVIEW

In Module I, we will present a section on awareness and general information regarding pandemic flu. This section will include the various types of flus, how a pandemic flu is different from other types of flu, and a brief history of pandemic outbreaks.



### WHAT IS A PANDEMIC INFLUENZA?

A pandemic influenza is a global disease outbreak caused by a new influenza virus. The virus may spread quickly, with the possibility of serious illness and death. Because there is little natural immunity to such a virus, many people could be at risk, with serious consequences possible. Historically, pandemic influenza has caused widespread harm and death.



## HOW IS A PANDEMIC FLU DIFFERENT FROM A SEASONAL FLU?

- Seasonal flu is caused by viruses that are already in existence among the population, and which are treatable with existing vaccines.
- A pandemic influenza is caused by a virus that is either new to people, or has mutated from an existing virus. It can spread from person to person, and few people would be immune to the new virus.
- A pandemic could severely affect a broad set of the population, including the young and the elderly.
- A severe pandemic could change daily life for a time.

## HAVE THERE BEEN INFLUENZA PANDEMICS IN THE PAST?

Influenza pandemics have occurred throughout recorded history.

- About 30 influenza pandemics have been recorded.
- There were three influenza pandemics in the last century.
- The most recent pandemic was the Hong Kong influenza in 1968/69.
- The most serious recorded pandemic was the one of 1918, which killed tens of millions of people worldwide, and killed more than 675,000 in the United States.

## WHEN MIGHT A PANDEMIC OCCUR?

Pandemic influenza will occur again. Influenza viruses are constantly changing, and occasionally a new virus emerges that can spread easily among humans.

It is difficult to predict when the next pandemic will occur, or how severe it will be.

## WHAT IS THE "BIRD FLU" THAT WE HAVE BEEN HEARING SO MUCH ABOUT LATELY?

"Bird flu" is the H6N1 variant of avian influenza found in eastern Asia and other countries. Scientists are concerned that that virus could evolve into one capable of spreading by human-to-human transmission.

The virus is common among migratory birds, which have spread it to new regions. To date more than 200 cases of bird-to-human infection have been

documented, with death resulting in more than 150 cases and severe illness in many others.

## How is a pandemic influenza virus spread?

- General flu, caused by viruses closely related, is easily spread by existing viruses.
- Pandemic influenza could begin with an existing influenza virus that has mutated and is spread from person to person, few of whom would have neutral antibodies.
- A pandemic could severely affect a broad set of the population, including the young and the elderly.
- A severe pandemic could change daily life for a time.

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## How often have influenza pandemics occurred?

### Approximate pandemic occurrence rates

- About 30 influenza pandemics have been recorded.
- There were 3 prior influenza pandemics in the last century, with the most recent being the 1968 Hong Kong influenza.
- The most recent was the 1918 pandemic, which killed tens of millions of people worldwide, and 675,000 in the United States.

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## How might a pandemic occur?

### Antigenic drift and reassortment

- Influenza viruses are constantly changing.
- Occasionally a new virus emerges that can spread easily among humans.
- It is difficult to predict when the next pandemic will occur, or how severe it will be.

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## What are the risks of a pandemic virus?

### Antigenic drift and reassortment

- The virus is spreading to neighboring countries.
- More than 200 cases of influenza infection have been reported in the United States.
- In some individuals, it may be able to spread from one person to another.

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In one Indonesian family, the virus spread from one person to another.

## HOW FAST COULD A PANDEMIC FLU SPREAD?

A person can be infected with influenza and not realize it.

Influenza is a contagious disease of the lungs, and usually spreads by the coughing and sneezing of infected persons.

Most people will have little or no immunity to pandemic influenza, since it will be a new virus.

It is estimated that a pandemic virus could kill hundreds of thousands of Americans, and that some 40% of the workforce would be unavailable for duty during the outbreak.

(sources: [www.whitehouse.gov](http://www.whitehouse.gov); [www.pandemicflu.gov](http://www.pandemicflu.gov))

## IMPACT ON COMMUNITIES

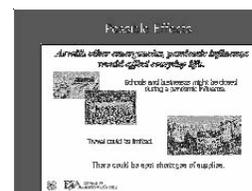
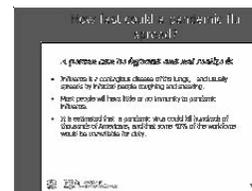
According to the U.S. Department of Health and Human Services (DHHS), flu viruses can occur in waves and can last from six to eight weeks at a time until the virus is contained. In such instances, community centers or other public gathering places might have to undertake special actions or even close their doors for a substantial period of time.

Transportation and food delivery may be slowed or halted, depending on how far the pandemic reaches.

Emergency personnel could be affected as well.  
([www.pandemicflu.gov](http://www.pandemicflu.gov))

## POSSIBLE EFFECTS

As with other emergencies, pandemic influenza could affect everyday life. Schools and businesses might be closed during a pandemic. Travel could be limited. There could be spot shortages of supplies.



## NATIONAL IMPACT

Federal, State and local government entities hold specific responsibilities with regard to pandemic planning and preparation.

However, as Secretary Leavitt stated, "It will require the private sector and all of us as individuals to be ready."

## MODULE II: SHERIFF'S OFFICE FAMILY PLAN PREPARATION AND PROTECTION

This section on general family preparation and protection guidelines is intended for all Sheriffs' office employees and their families, and includes some of the basic protections that organized community groups can take to prevent a pandemic event from spreading.

### PROTECTION FROM THE FLU

The Centers for Disease Control (CDC) suggests that people should take commonsense actions to keep from spreading germs. They should:

- Cover their coughs and sneezes, and wash their hands frequently.
- Stay away from sick persons as much as possible.

When you yourself are sick, you should keep away from others as much as possible.

### SHELTERINPLACE PLAN

Sheriffs should meet with community leaders and representatives to ensure that each community member (including Sheriff's Office personnel) has a shelterinplace plan in the event that a voluntary or mandatory quarantine order is issued.

This plan should cover essential elements, including:

- Food/water
- Equipment
- Supplies

- Communications
- Electricity/power

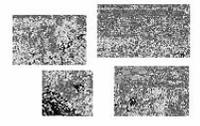
### Private Forest

"We understand that our clients will expect a more integrated approach to services and that should cover the regulatory, technical, environmental, and social aspects of the business. It will require a more integrated governance and reporting, including financial, social and environmental, and it will require the private sector to work with us on this as well."

— Anthony M. Lantieri, Executive Director, International Chamber of Commerce

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### Private Forest: The Private Forest



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### Private Forest: The Private Forest

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### Private Forest: The Private Forest

- Food/Water
- Equipment
- Supplies
- Communications
- Electricity/Power



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Citizens must be prepared for both short and long term quarantines, and have the supplies on hand or easily available in case of either eventuality. Citizens who depend upon food delivery services or programs such as Meals on Wheels may have to make other arrangements if delivery services become unavailable.

#### SHELTER IN PLACE HOME SUPPLIES

As for any emergency, citizens should keep a stock of essential supplies such as food, water, and medicine on hand at home in case they must shelter in place for a period of time.

Important supplies include:

- Medications (both prescription and over the counter)
- A two week supply of easy to prepare food
- Pantry staples
- Sanitizing agents such as soap, hand cleaner, spray disinfectant
- Emergency contact information at hand

#### INFECTION CONTROL POLICIES AND PROCEDURES

One of the most effective infection control practices is to avoid large groups, or contact with others who may be infected or contagious. Sheriff's offices should develop and implement effective infection control policies and procedures, including an active "good hygiene" campaign aimed at minimizing exposure in public places. A core component of such a campaign includes providing education and information regarding personal hygiene, covering coughs and sneezes, and repeatedly washing hands.

In addition, workplaces should provide necessary infection control materials such as: soap, alcohol based waterless hand hygiene products, tissues and receptacles for proper disposal.

Since large scale events may result in shortages of such supplies, departments may want to stockpile certain

nonperishable infectioncontrol items.

### Water Treatment Operations

Keep a supply of essential supplies on hand at times.

Essential supplies include:

- Medication
- Supply of water-pressure fluid
- Pumps and valves
- Spare parts
- Emergency contact information



© EPA

### Infection control policies and procedures

- Avoid contact with infected or contagious persons.
- Develop and implement effective infection control policies and procedures.
- Provide education on good personal hygiene and infection control.
- Provide infection control materials.

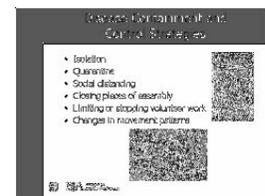


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## DISEASE CONTAINMENT AND CONTROL STRATEGIES

Sheriff's Office family members may want to implement disease containment and control strategies. Some of these strategies include:

- **Isolation:** Separation of persons with specific infectious illnesses in their homes, in hospitals, or in designated healthcare facilities.
- **Quarantine:** Separation and restriction of movement, usually of a group of people who, while not yet ill, may have been exposed to an infectious agent.
- **Social distancing:** Within the community, social distancing measures could take the form of modifying the frequency and type of face-to-face encounters (e.g., handshaking at meetings), or even requesting that individuals stay at home at the first sign of symptoms.
- **Closing places of assembly:** Voluntary or mandatory closure of public places, including recreation centers, civic centers, or community buildings.
- **Limiting or stopping volunteer work:** Voluntary or mandatory reduction of volunteer work such as neighborhood activities.
- **Changes in movement patterns:** Restricting movement at the border, instituting reductions in the transportation sector, and applying quarantine protocols.



## COMMUNITY INFORMATION

One of the most important elements of pandemic planning, preparation and response is to stay informed.

Sheriff's Office family members can stay apprised of pandemic information through the Centers for Disease Control and Prevention at 8003113435 (website [www.cdc.gov](http://www.cdc.gov)), or by logging on to [www.pandemicflu.gov](http://www.pandemicflu.gov).



### SECTION III – NSA’S COOP TECHNICAL ASSISTANCE PROGRAM

Once the Sheriff’s Office has properly identified essential functions and has produced a draft of the COOP for the Sheriff’s Office, it is incumbent on him/her to reach out to their partners and other impacted organizations in order to develop an interagency COOP. This new interagency COOP Team will then work to develop a COOP that contains all of the elements needed to continue essential functions of each agency.

Some groups that Sheriffs should partner with in ensuring that a proper COOP has been developed include:

- Judges
- Court administrators
- Health Department
- Emergency Management

Planning team members may also consult with their respective offices to provide input and information regarding polices, procedures, operations or other key items beneficial to the establishment of a realistic plan.

In order to facilitate this interagency COOP planning process, the Sheriff can request the assistance of the National Sheriffs’ Association to provide a COOP Technical Assistance program. This oneday program is specifically designed to bring all interagency partners together to share information and exchange ideas that will result in the most effective interagency COOP plan possible.

During this session participants will review the fundamental elements of COOP planning as they highlight the crucial areas of the Planner’s Workbook: Pandemic Version and learn how to complete various sections of the plan. Session facilitators and participants alike should realize that this session is offered as an opportunity to start or enhance the planning process which will likely take each agency several weeks or more to fully develop on their own.

The primary goal of this program is to:

***Understand the need for proactive continuity of operations planning by the Sheriff, courts and all partner organizations in order to ensure the continuance of essential functions during an all-hazards incident or pandemic event.***

The primary objective of the COOP technical assistance program is to demonstrate how Sheriffs and their organizational partners can work together to develop coordinated Continuity of Operations Plans that provide essential functions during and allhazards incident.

#### LEARNING OBJECTIVES

Participants will:

- Review the process of Continuity of Operations Planning
- Learn how to utilize the predesigned templates to develop a comprehensive Continuity of Operations Plan.
- Become aware of potentially dangerous pandemic events and how to build a COOP to address the potential impact of a pandemic on the organization

Target Audience: This facilitated session is for all agency executives or their designees and should include: Sheriffs, Judges, Court Administrators, Public Health Agencies, Emergency Management Agencies.

#### PREPARATION FOR THE PROGRAM

This Preparation Guide is designed to assist Sheriffs who host an NSA COOP technical assistance program for their agency and organizational partners. This guide details such elements as who to invite, where to hold the meeting, and what outcomes should be expected by all parties.

#### Initial Contact and onsite visit: Meeting with the Sheriff or Command Staff

Prior to organizing the COOP technical assistance program, it is critical that the law enforcement agency in the community be fully supportive of the program and its goals. Meetings should be organized with the Sheriff, Chief of Police or their designee to solicit their support and departmental assistance with the program. During this phase, the Sheriff or Chief Executive must make a commitment to assist and support the COOP staff in order to properly plan for and execute this continuity of operations program.

Elements of initial discussion include:

1. Consideration of the Sheriff's Office demographics and the community's demographics. NSA staff and department personnel should discuss the philosophy of continuity of operations planning for allhazards incidents and pandemic events.
2. Determine the level of support and enthusiasm from the command level of the agency and the core partner organizations

(courts, health department, and emergency management) that will be in attendance. Learn about current continuity of operations plans that exist (if any) at all of the partner organizations.

3. Develop a timetable for the Sheriff's briefing and COOP technical assistance program, including deadlines for sending invitations and RSVPs.
4. Discuss in general terms the COOP program. It is important to determine what personnel-related issues associated with scheduling and union rules need to be considered.

#### Onsite Visit/Facilities

Once it has been determined that the agency is supportive of hosting a session, the details of where, when and how need to be addressed.

During this meeting, the following outcomes need to be determined:

- Date, location and time of Sheriff's briefing
- Date, location and time of COOP training
- Where meeting should be held: preferably at a local hotel or convention facility. (Ideal size 2400 sq. ft., or 60' X 40').

Who should be invited to attend the COOP technical assistance program?

All organizational partners who interact with the Sheriff and courts and must coordinate to maintain essential functions. This may include:

- Sheriff
- Judges
- Court administrators
- Health Department
- Emergency Management

#### SAMPLE INVITATION LETTER

DATE:

Mr./Ms. John Doe 1125 M  
Street, NW Washington, DC  
20036

Dear Mr./Ms. Doe:

On behalf of the Any County Sheriff's Office and the National Sheriffs' Association, we would like to invite you to attend a special technical assistance program designed to assist your agency and its partners to develop a

coordinated Continuity of Operations Plan in (Any County, USA) on (DATE). The course will be held at (LOCATION and ADDRESS) from 9:00 a.m. to 4:00 p.m. Business casual attire is encouraged. All governmental entities that provide essential services to the public should have Continuity of Operations Plans. The focus of this initiative is to examine the nexus of Sheriff's Office and court operations and how they must work together in developing Continuity of Operations Plans in order to continue to provide essential services during an all-hazards incident or pandemic event. We appreciate your willingness to invest in your community by attending this course. If you can attend, please call (NAME OF CONTACT AND PHONE NUMBER) Thank you for your interest and we look forward to seeing you on (DATE). Sincerely , John Q. Public, Sheriff Any County, USA

## LOGISTICS OF THE SESSION

### Dress Code

Facilitators –  
business attire  
Participants –  
business casual

### Checklist

Prior to the start of the workshop

Check on the room set up (60 ft. X 40 ft.)

- Round tables for participants
- Staff table at the rear of the room
- Facilitators' table at the front of the room, off to one side
- Be certain there is room to move between the tables

Check all audio visual aids and equipment

- Screen and backup overhead projector
- Laptop and LCD projector for PowerPoint presentation
- Remote control
- Flip charts (two for facilitators, one for each table)
- Multicolored markers for each flip chart

Materials placed at each participant's seat

- COOP Planner's Workbook
- Blank name tents with markers on table
- Pens and paper

## FACILITATION TECHNIQUES

This program is built on adult learning principles. Facilitators practice adult learning techniques to draw out the group and make them active participants in the formulation of the goals and outcomes of the program.

- Adults link previous knowledge and experiences to what they are learning.
- Adults are protective of their selfesteem.
- Adults need to be respected as having some selfdirection in their learning process.
- Adults are selfmotivated to know the skills being taught.
- Adults expect to see an immediate relevance to what they are learning so they can apply it immediately to their work and life.
- Adults learn at different speeds.
- Adults learn from a variety of instructional methods.

With these concepts in mind, facilitators for this program must endeavor to create a climate which allows both law enforcement officers and the partner organization representatives to express opinions freely and comfortably. Conflict is dealt with professionally, and used to educate participants on the process of handling differences.

## SUGGESTED SCHEDULE

### COOP Technical Assistance Planning Agenda

8:30 – 9:00 Registration

9:00 – 4:00 Opening Welcome and Staff Introductions

Participant Introductions Project Goals and Objectives

Review of COOP elements Plan Purpose Essential Functions

Orders of Succession Delegation of Authority Alternative

Facilities Mission Critical Systems Vital Records Planning

Responsibilities Plan Maintenance

PREPARATION MATRIX

Initial Conversation	Initial Meeting	Second Meeting	Next Contacts	Meeting Date
Establish date, time, and location of program	Review all partner organizations	on a regular basis	Operations Plans Technical	As close to event as possible, have command and facilitators meeting
Agree on general meeting and training dates and times	Determine support for COOP at command levels	If possible, look at meeting space	Contact participants in person and by phone	Arrive at site at least 2-3 hours early
Review possible attendees	Discuss existing Sheriff's Office organizational COOP	registration list and		Configure room and registration area for maximum benefit
level of support	Secure program materials: participant books, CDs, pens, paper, materials	Draft invitation letter over Sheriff's signature	Determine time and place for Sheriff's briefing with facilitators	
	Discuss meeting potential agenda barriers and amend benefits	Review and timetable		
	Visit partner organizations if possible	Set deadlines for decisions	Continue to follow-up until date of meeting	
	Negotiate for meeting space	Ship all training plan with		
	Create timetable with all finalized dates, times and locations	Determine Breaks, Meals		

## SUMMARY

This Continuity of Operations Planning for Sheriffs Preparation and Reference Guide presented information on the benefits of continuity of operations planning, an overview of this particular type of planning and information on hosting a National Sheriffs' Association COOP Technical Assistance program to facilitate COOP planning for the Sheriff's Office and their partners who provide essential services to the community.

Upon completion of this guide the Sheriff can undertake the COOP planning process on his or her own, reach out to their partner agencies, or request the NSA COOP Technical Assistance program by calling the NSA Director of Training at 18004247827. Once confirmed NSA staff members will travel to the location to facilitate the oneday course for the Sheriff and all of their interagency partners.

During the session the participants who have already reviewed the COOP for Sheriffs Preparation and Reference Guide and are familiar with the basics of COOP planning will review, discuss and complete sections of the Continuity of Operations Planning for Sheriffs Planner's Workbook: Pandemic Version.

The technical assistance session demonstrates and actively models a process that Sheriffs can use both internally and externally as they develop and revise their comprehensive plans. The facilitated program also encourages Sheriffs to work with their partner agencies to ensure that all essential functions of each one of the organizations are properly integrated into a system that will continue to provide services during a pandemic influenza or other allhazards event. Although the task of developing or even updating a COOP can not be completed in one day the session is designed to expose participants to the various elements necessary to complete their own COOP plans.

## NOTES

# APPENDIX 1 - CORRECTIONAL FACILITIES PANDEMIC INFLUENZA PLANNING CHECKLIST

## CORRECTIONAL FACILITIES PANDEMIC INFLUENZA PLANNING CHECKLIST



Planning for pandemic influenza is critical for ensuring a sustainable health care delivery system within correctional facility settings. The Department of Health and Human Services (HHS) has developed the following checklist to help prison and jail systems to self-assess and improve their preparedness for responding to pandemic influenza. Given the differences among systems, individual facilities should adapt this checklist to meet their unique needs. This checklist should be used as one tool in developing an overall pandemic influenza plan for correctional systems as well as individual facilities. Responsible officials should incorporate information from State, regional and local health departments and emergency management agencies/authorities into the system and individual facility pandemic influenza plan. An additional benefit of this planning is that it can be used for other types of disaster preparedness.

All contact information specified below should include the names, titles, and contact information (i.e., office phone and cell phone numbers and e-mail and physical addresses) for individuals or organizations. These sheets should be provided to the system-level office (for prison and large jail systems). Further information can be found at [www.pandemicflu.gov](http://www.pandemicflu.gov). For information on general emergency planning and continuity of operations, see [www.ready.gov](http://www.ready.gov).

### Develop a pandemic influenza preparedness and response plan

Completed	In Progress	Not Started																					
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Incorporate pandemic influenza preparedness into correctional facility or system disaster planning and exercises. Review Federal, State, and local public health and emergency management agencies' pandemic plans in areas where you operate or have jurisdictional responsibilities. Ensure that your plan is NIMS (National Incident Management System) compliant and align your plan with the local Incident Command System (ICS) and local pandemic influenza plans to achieve a unified approach to incident management. See "State and Local Governments," <a href="http://www.pandemicflu.gov/plan/states/index.html">www.pandemicflu.gov/plan/states/index.html</a> and <a href="http://www.fema.gov/emergency/nims/index.shtml">http://www.fema.gov/emergency/nims/index.shtml</a> .																				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Assign responsibility for coordinating pandemic influenza preparedness planning to a person with appropriate training and authority. Verify Command and Control areas of responsibility and authority during a pandemic. Develop a plan for back-up if that person becomes ill during a pandemic.																				
			<table border="1"> <thead> <tr> <th></th> <th>Pandemic Influenza Preparedness (PIP) Coordinator</th> <th>Alternate PIP Coordinator</th> </tr> </thead> <tbody> <tr> <td>Name</td> <td></td> <td></td> </tr> <tr> <td>Title</td> <td></td> <td></td> </tr> <tr> <td>Contact Information (Office phone, cell phone, e-mail)</td> <td></td> <td></td> </tr> </tbody> </table>		Pandemic Influenza Preparedness (PIP) Coordinator	Alternate PIP Coordinator	Name			Title			Contact Information (Office phone, cell phone, e-mail)										
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Name																							
Title																							
Contact Information (Office phone, cell phone, e-mail)																							
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form a multidisciplinary planning committee to address pandemic influenza preparedness specifically. Alternatively, pandemic influenza preparedness can be addressed by an existing committee with appropriate skills and knowledge and relevant mission.																				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Committee Name: _____</p> <p>Appoint members of the planning committee to include (as applicable in different settings) the representatives listed in the table below:</p> <table border="1"> <thead> <tr> <th>Committee Representative</th> <th>Name and Title</th> <th>Contact Information (office phone, cell phone, e-mail)</th> <th>Alternate Representative</th> </tr> </thead> <tbody> <tr> <td>PIP Coordinator</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Secretary/Commissioner/Warden/Sheriff/Director</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Medical Director</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Health Services Representative(s)</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Committee Representative	Name and Title	Contact Information (office phone, cell phone, e-mail)	Alternate Representative	PIP Coordinator				Secretary/Commissioner/Warden/Sheriff/Director				Medical Director				Health Services Representative(s)			
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PIP Coordinator																							
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Medical Director																							
Health Services Representative(s)																							





**Develop a pandemic influenza preparedness and response plan (continued)**

Completed	In Progress	Not Started									
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Designate authority (and back-up individuals) to activate the correctional system pandemic influenza plan.								
			<table border="1"> <thead> <tr> <th colspan="2">Authority</th> </tr> </thead> <tbody> <tr> <td>Name</td> <td></td> </tr> <tr> <td>Title</td> <td></td> </tr> <tr> <td>Contact Information (Office phone, cell phone, e-mail)</td> <td></td> </tr> </tbody> </table>	Authority		Name		Title		Contact Information (Office phone, cell phone, e-mail)	
Authority											
Name											
Title											
Contact Information (Office phone, cell phone, e-mail)											
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Set up chain of command and procedures to signal activation of the agency's influenza pandemic response plan, altering operations (e.g., shutting down non-critical operations or operations in affected areas or concentrating resources on critical activities), as well as returning to normal operations.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensure all staff are familiar with the local Incident Command System (ICS) and understand the roles and persons assigned within that structure. See <a href="http://www.fema.gov/emergency/nims/index.shtm">http://www.fema.gov/emergency/nims/index.shtm</a> for more information.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Determine the potential impact of a pandemic on the agency or organization by using multiple possible scenarios of varying severity relative to illness, absenteeism, supplies, availability of resources, access to legal system representatives, etc. Incorporate pandemic influenza into agency emergency management planning and exercise.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Obtain relevant sections of the Department of Health and Human Services Pandemic Influenza Plan (available at <a href="http://www.hhs.gov/pandemicflu/plan">http://www.hhs.gov/pandemicflu/plan</a> ) for incorporation into the system or facility plan, as appropriate.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Obtain copies of available State, regional and local pandemic plans for incorporation into the system or facility plan, as applicable. (When appropriate, facility representatives should participate in development of these plans). (See: <a href="http://www.pandemicflu.gov/plan/stateplans.html">http://www.pandemicflu.gov/plan/stateplans.html</a> ).								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Describe organizational structure that will be used to implement the plan.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include provisions for timely and periodic review and revision of the plan, including dated history of revisions and clear identification of most current plan.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include allowances for the administrator or other authorized personnel to modify the plan in response to evolving circumstances that may represent a threat to the well-being and safety of the inmates and/or personnel.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Make sure that the plan checklist includes the date and signature of senior managerial representatives to confirm understanding and general conformity with the plan details.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Submit a completed plan to the Secretary/ Commissioner's Office by [insert date] for review and approval by [insert dates completed and sent for review].								

**Elements of an Influenza Pandemic Plan for Each System and Facility Should Include the Following:**

Completed	In Progress	Not Started													
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Assign a person(s) (with a back-up identified) the responsibility for monitoring Federal and State public health advisories using the internet ( <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a> ) and other appropriate information sources and to notify the pandemic influenza coordinator and the planning committee (system and facility levels) when pandemic influenza is reported in the United States and when it is reported within the geographic area of the correctional facility.												
			<table border="1"> <thead> <tr> <th></th> <th>Responsible Person</th> <th>Alternate</th> </tr> </thead> <tbody> <tr> <td>Name</td> <td></td> <td></td> </tr> <tr> <td>Title</td> <td></td> <td></td> </tr> <tr> <td>Contact Information (Office phone, cell phone, e-mail)</td> <td></td> <td></td> </tr> </tbody> </table>		Responsible Person	Alternate	Name			Title			Contact Information (Office phone, cell phone, e-mail)		
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**Elements of an Influenza Pandemic Plan for Each System and Facility Should Include the Following: (continued)**

Completed	In Progress	Not Started													
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>A plan for surveillance (monitoring) and detection of seasonal and pandemic influenza in inmates and staff (see <a href="http://www.hhs.gov/pandemicflu/plan/sup1.html">www.hhs.gov/pandemicflu/plan/sup1.html</a>). The plan should ensure:</b></p> <p>Develop a written protocol for monitoring seasonal influenza-like illness in inmates and staff (i.e., weekly or daily number of inmates and staff with influenza-like illness). See: <a href="http://www.cdc.gov/flu/professionals/diagnosis/">http://www.cdc.gov/flu/professionals/diagnosis/</a>. Institute a system for tracking illness trends during seasonal influenza to ensure that the facility can detect stressors that may affect operating capacity, including staffing and supply needs, during a pandemic.</p> <p>Create a protocol for the detection, evaluation, diagnosis and treatment of inmates and personnel with symptoms of pandemic influenza. (see: <a href="http://www.hhs.gov/pandemicflu/plan/sup5.html">http://www.hhs.gov/pandemicflu/plan/sup5.html</a>).</p> <p>Institute a system to monitor and internally review transmission of pandemic influenza among inmates and staff in the facility. Information from this monitoring system is used to implement containment measures (e.g., isolation, cohorting).</p> <p><b>A communication plan. See: <a href="http://www.hhs.gov/pandemicflu/plan/sup10.html">http://www.hhs.gov/pandemicflu/plan/sup10.html</a>.</b></p> <p>Assign responsibility for communication with public health authorities and within the corrections system for planning and response.</p> <table border="1"> <thead> <tr> <th></th> <th>Responsible Person</th> <th>Alternate</th> </tr> </thead> <tbody> <tr> <td>Name</td> <td></td> <td></td> </tr> <tr> <td>Title</td> <td></td> <td></td> </tr> <tr> <td>Contact Information (Office phone, cell phone, e-mail)</td> <td></td> <td></td> </tr> </tbody> </table>		Responsible Person	Alternate	Name			Title			Contact Information (Office phone, cell phone, e-mail)		
	Responsible Person	Alternate													
Name															
Title															
Contact Information (Office phone, cell phone, e-mail)															
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a list of local hospitals/health facilities, emergency medical services, commercial and clinical laboratories, relevant community organizations (including those involved with disaster preparedness) and update as necessary including points of contact to facilitate communication across organizational lines during pandemic conditions. (Attach a copy to the pandemic plan).												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Assign responsibility for communication with inmates, staff, and the community regarding the status and impact of pandemic influenza in the facility. Develop a plan for back-up if that person becomes ill during a pandemic. Having one voice that speaks for the facility during a pandemic will help ensure the delivery of timely and accurate information.												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensure that communications are available in appropriate formats for individuals with disabilities (e.g., visual or hearing impairments) and limited English proficiency.												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>An education and training plan. Each system and each facility should develop or obtain an education and training program to ensure that all personnel understand the implications of, and control measures for, pandemic influenza and the current system/facility and community response plans.</b>												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Designate responsibility for coordinating education and training on pandemic influenza, including identifying and facilitating access to available programs, as well as tracking which personnel have completed the training.												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify existing and potential sources for alternative training options such as Web casts, DVD, CD-ROM and local training programs conducted by the health department, area hospitals, local colleges or trade schools for clinical and non-clinical education for corrections staff. (See: <a href="http://www.cdc.gov/flu/professionals/training/">http://www.cdc.gov/flu/professionals/training/</a> ).												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify or develop language, format (i.e., prepared for individuals with visual, hearing or other disabilities), and reading-level appropriate materials (e.g., brochures, pamphlets) to supplement and support education and training programs of personnel and inmates. (See <a href="http://www.cdc.gov/flu/groups.htm">www.cdc.gov/flu/groups.htm</a> and <a href="http://www.cdc.gov/flu/professionals/infectioncontrol/index.htm">www.cdc.gov/flu/professionals/infectioncontrol/index.htm</a> ).												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensure that education and training includes information on infection control measures to prevent the spread of pandemic influenza, such as hand hygiene and sneeze/cough etiquette.												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pre-identify, perform background checks, credential and train personnel who will be brought in for surge capacity.												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>An infection control plan for managing inmates and visitors with pandemic influenza that includes the following:</b></p> <p>Create policies and procedures for cohorting inmates with known or suspected pandemic influenza using one or more of the following strategies: 1) Confining ill and exposed inmates to their cells, 2) Placing inmates with symptoms of pandemic influenza together in one area of the facility, or closing off units that have symptomatic inmates. Policies and protocols for restricting staff who are assigned to work on affected units from working on other units.</p>												

**Elements of an Influenza Pandemic Plan for Each System and Facility Should Include the Following: (continued)**

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop policies and procedures for handling intake, influenza screening, processing and placement of new inmates with known or suspected pandemic influenza.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Design an infection control policy for the use of recommended personal protective equipment and infection control measures for staff. (See: <a href="http://www.hhs.gov/pandemicflu/plan/sup4.html">http://www.hhs.gov/pandemicflu/plan/sup4.html</a> )
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop procedures for implementing respiratory hygiene/cough etiquette for staff and inmates throughout the facility. (See: <a href="http://www.cdc.gov/flu/professionals/infectioncontrol/resphygiene.htm">www.cdc.gov/flu/professionals/infectioncontrol/resphygiene.htm</a> and the Community Mitigation guidance at <a href="http://www.pandemicflu.gov/plan/community/mitigation.html">http://www.pandemicflu.gov/plan/community/mitigation.html</a> .)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Specify criteria and protocols for appropriately closing the facility to new admissions, including notification of feeder jails and reception (intermediary classification and assessment) centers.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop criteria and procedures for transfer of inmates with known or suspected pandemic influenza to hospitals, if it becomes necessary. Policies and procedures for clinical management of inmates who need hospitalization but must remain in the facility due to limited hospital beds.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Plan for discharging released inmates with known or suspected pandemic influenza
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop criteria and protocols for limiting non-essential visitors, including an education and communication strategy for visitors, especially those traveling long distances. Include policies and procedures for pandemic influenza screening of all persons coming into the facility.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>A plan for the impact of a pandemic on your employees that includes the following:</b> (See: <a href="http://www.hhs.gov/pandemicflu/plan/sup11.html">www.hhs.gov/pandemicflu/plan/sup11.html</a> and the Community Mitigation guidance at <a href="http://www.pandemicflu.gov/plan/community/mitigation.html">http://www.pandemicflu.gov/plan/community/mitigation.html</a> .)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop contingency plans for 30 – 40% employee absences. Keep in mind that absences may occur due to personal illness, family member illness, community mitigation measures, quarantines, school, childcare, or business closures, public transportation disruptions, or fear of exposure to ill individuals, as well as first responder, National Guard, or military reserve obligations.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify critical job functions and plan now for to cover those functions in case of prolonged absenteeism during a pandemic. Develop succession plans for each critical agency position to ensure the continued effective performance of your organization by identifying and training replacements for key people when necessary. These replacements should be integrated into employee development activities, and should include critical contracted services as well.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	As necessary, plan for cross-training employees, use of auxiliary personnel and recent retirees, recruiting temporary personnel during a crisis, or establishing flexible worksite options (e.g., telecommuting) and flexible work hours (e.g., staggered shifts) if appropriate.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a mechanism for employees to immediately report their own possible influenza illness during a pandemic (24/7).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish compensation and leave policies that strongly encourage ill workers to stay home until they are no longer contagious. During a pandemic, employees with influenza-like symptoms (such as fever accompanied by sore throat, muscle aches and cough) should not enter the worksite to keep from infecting other workers. Employees who have been exposed to someone with influenza, particularly ill members of their household, may also be asked to stay home and monitor their symptoms.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Employees who develop influenza-like symptoms while at the worksite should leave as soon as possible. Explore the availability of resources for testing for influenza in coordination with local and State health departments. Consult with State and local public health authorities regarding appropriate treatment for ill employees. Prepare policies that will address needed actions when an ill employee refuses to stay away from work. Federal agencies can consult guidance provided by the Office of Personnel Management (OPM) at <a href="http://www.opm.gov/pandemic">www.opm.gov/pandemic</a> .
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop policies that focus on preventing the spread of respiratory infections in the workplace. This policy might include social distancing practices, the promotion of respiratory hygiene/cough etiquette, and appropriate attention to environmental hygiene and cleaning. (For more information see <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a> and <a href="http://www.pandemicflu.gov/plan/community/mitigation.html">http://www.pandemicflu.gov/plan/community/mitigation.html</a> as well as OPM's guidance at <a href="http://www.opm.gov/pandemic">www.opm.gov/pandemic</a> .)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Provide educational programs and materials (language, culture, and reading-level appropriate) to personnel on: <ul style="list-style-type: none"> <li>• pandemic fundamentals (e.g., signs and symptoms of influenza, modes of transmission, medical care) See <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a>, <a href="http://www.cdc.gov/flu/protect/stopgerms.htm">www.cdc.gov/flu/protect/stopgerms.htm</a>, <a href="http://www.cdc.gov/flu/protect/covercough.htm">http://www.cdc.gov/flu/protect/covercough.htm</a>, and <a href="http://www.cdc.gov/flu/professionals/infectioncontrol/resphygiene.htm">www.cdc.gov/flu/professionals/infectioncontrol/resphygiene.htm</a></li> <li>• personal and family protection and response strategies (e.g., hand hygiene, coughing/sneezing etiquette, etc.). Post instructional signs that illustrate correct infection control procedures in all appropriate locations, including offices, restrooms, waiting rooms, processing rooms, detention facilities, vehicles, etc. See <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a>, <a href="http://www.cdc.gov/flu/protect/stopgerms.htm">www.cdc.gov/flu/protect/stopgerms.htm</a>, <a href="http://www.cdc.gov/flu/protect/covercough.htm">http://www.cdc.gov/flu/protect/covercough.htm</a>, and</li> <li>• community mitigation interventions (e.g., social distancing, etc.) <a href="http://www.pandemicflu.gov/plan/community/mitigation.html">http://www.pandemicflu.gov/plan/community/mitigation.html</a></li> </ul>

**Elements of an Influenza Pandemic Plan for Each System and Facility Should Include the Following: (continued)**

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Provide information to employees to help them and their families prepare and plan for a pandemic. See <a href="http://www.pandemicflu.gov/plan/individual/index.html">www.pandemicflu.gov/plan/individual/index.html</a>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify employees who may need to stay home if schools dismiss students and childcare programs close for a prolonged period of time (up to 12 weeks) during a severe pandemic. Advise employees not to bring their children to the workplace if childcare cannot be arranged. Plan for alternative staffing or staffing schedules on the basis of your identification of employees who may need to stay home.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Provide training for law enforcement officers, office managers, medical or nursing personnel, and others as needed for performance of assigned emergency response roles. Identify a training coordinator and maintain training records.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Stock recommended personal protective equipment (PPE) and environmental infection control supplies and make plans to distribute to employees, contractors, and others (including detainees) as needed. These supplies should include tissues, waste receptacles, single-use disinfection wipes, and alcohol-based hand cleaner (containing at least 60% alcohol). EPA registered disinfectants labeled for human influenza A virus may be used for cleaning offices, waiting rooms, bathrooms, examination rooms, and detention facilities. PPE may include gloves, surgical masks and respirators (disposable N95s or higher respirators or reusable respirators), eye protection, pocket masks (for respiratory resuscitation) and protective cover wear (e.g., impervious aprons). The specific uses for the above supplies will be advised by State and local health officials during a pandemic. Further information can be found at <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a> , and at <a href="http://www.osha.gov/Publications/OSHA3327pandemic.pdf">http://www.osha.gov/Publications/OSHA3327pandemic.pdf</a>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Work with State and/or local public health to develop a plan for distribution of pandemic influenza vaccine and antiviral medications to personnel. See current HHS recommendations for pandemic influenza vaccine and antiviral use at <a href="http://www.hhs.gov/pandemicflu/plan/sup6.html">http://www.hhs.gov/pandemicflu/plan/sup6.html</a> and <a href="http://www.hhs.gov/pandemicflu/plan/sup7.html">http://www.hhs.gov/pandemicflu/plan/sup7.html</a> .
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Encourage and track seasonal influenza vaccination for employees every year. See <a href="http://www.cdc.gov/flu/protect/preventing.htm">www.cdc.gov/flu/protect/preventing.htm</a> . Encourage all employees and their families to be up-to-date on all adult and child vaccinations recommended by the Advisory Committee on Immunization Practices. See <a href="http://www.cdc.gov/nip/recs/adult-schedule.htm">www.cdc.gov/nip/recs/adult-schedule.htm</a> and <a href="http://www.cdc.gov/nip/recs/child-schedule.htm">www.cdc.gov/nip/recs/child-schedule.htm</a> .
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Evaluate employee access to and availability of health care, mental health, social services, community, and faith-based resources during a pandemic, and improve services as needed. See <a href="http://www.hhs.gov/pandemicflu/plan/sup11.html">www.hhs.gov/pandemicflu/plan/sup11.html</a> .
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a plan for managing personnel who are at increased risk for influenza complications (e.g., pregnant women, immunocompromised workers) by placing them on administrative leave, altering their work location, or other appropriate alternatives during a pandemic health crisis, consistent with the EEO laws.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>A vaccine and antiviral use plan, including:</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Refer to web sites containing current CDC and State health department recommendations and guidance for the use, availability, access and distribution of vaccines and antiviral medications during a pandemic. For more information, see: <a href="http://www.hhs.gov/pandemicflu/plan/sup6.html">www.hhs.gov/pandemicflu/plan/sup6.html</a> and <a href="http://www.hhs.gov/pandemicflu/plan/sup7.html">www.hhs.gov/pandemicflu/plan/sup7.html</a> .
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop policies and a plan that addresses prioritization of personnel and inmates to be vaccinated or treated based on the availability of vaccines, antiviral medications, and other limited quantity treatment or prophylaxis, consistent with HHS guidance and State health department recommendations (see: <a href="http://www.hhs.gov/pandemicflu/plan/appendixd.html">www.hhs.gov/pandemicflu/plan/appendixd.html</a> ).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish an implementation plan for rapid delivery of vaccines, antiviral treatments, and prevention strategies for staff and inmates based on the preceding prioritization strategy.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>A plan to address concerns related to surge capacity during a pandemic including staffing and supply issues. The plan should:</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a staffing plan that specifies the minimum number and categories of personnel necessary to maintain the operation of the prison or jail, based on inmate census and the need to provide medical and nursing care in a safe manner.

**Elements of an Influenza Pandemic Plan for Each System and Facility Should Include the Following: (continued)**

Completed	In Progress	Not Started									
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Assign responsibility for assessing day-to-day staffing and other needs during an influenza pandemic to someone with proper authority and training.								
			<table border="1"> <tr> <td></td> <td><b>Responsible Person</b></td> </tr> <tr> <td><b>Name</b></td> <td></td> </tr> <tr> <td><b>Title</b></td> <td></td> </tr> <tr> <td><b>Contact Information (office phone, cell phone, e-mail)</b></td> <td></td> </tr> </table>		<b>Responsible Person</b>	<b>Name</b>		<b>Title</b>		<b>Contact Information (office phone, cell phone, e-mail)</b>	
	<b>Responsible Person</b>										
<b>Name</b>											
<b>Title</b>											
<b>Contact Information (office phone, cell phone, e-mail)</b>											
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Define criteria for declaring a "staffing crisis" that would enable the use of emergency staffing alternatives.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include protocols for mandatory security and medical staff overtime within applicable State law or system regulations. Assess the value of voluntary emergency staffing agreements, preferably written, with medical and clinical staff members for all-cause disasters prior to implementing mandatory staffing.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Address facilities that use contracted medical staffing. Arrangements should be made for voluntary or mandatory crisis staffing on a collaborative basis. Contract providers do not have the same authority as the State to require mandatory overtime, so cooperative planning is necessary.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Provide cross training of facility staff to help sustain operating capacity.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include linkages to local and regional planning and response groups to collaborate on addressing widespread healthcare staffing shortages during a crisis.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Estimate consumable resource needs (e.g., masks, gloves, hand hygiene products) for approximately six to eight weeks and consider stockpiling these quantities depending on storage capacity, purchasing flexibility, and other facility-specific considerations.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a primary plan and contingency plan to address supply shortages, including detailed procedures for the pre-pandemic acquisition of supplies through normal channels as well as procedures for replenishing supplies under crisis conditions.								
			<b>Development of a strategy to help increase health care bed capacity in the community, if feasible. Plans should consider:</b>								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identification of potential problems and concerns associated with temporary use of facility space for acute care beds and develop strategies for addressing these issues with both security and medical personnel in advance of need.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identification of areas within the facility that could be used to create additional acute care beds for expanded health care capacity; discuss availability with local and regional planning groups.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Signed transfer agreements with hospitals and/or other providers for the facility to accept non-influenza patients, if applicable, to enable hospitals to focus on the most seriously ill patients with pandemic influenza.								
			<b>Development of a strategy for handling and storing increased numbers of deceased persons, including communications plans for contacting appropriate family members or others regarding disposition of remains. The plan should:</b>								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Address expanding morgue capabilities with local hospitals and other relevant institutions.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify an area in the facility that could be used as a temporary morgue.								
			<b>Coordinate your plan with other agencies and organizations</b>								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review your pandemic influenza preparedness and response plan with key stakeholders inside and outside the agency, including employee representatives, and determine opportunities for collaboration, modification of the plan, and the development of complementary responsibilities.								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Share preparedness and response plans with other correctional agencies and law enforcement support agencies in your community, region or State in order to share resources, identify collaboration strategies, and improve community response efforts. Develop, review, and modify local and State mutual aid agreements, if necessary. Mutual aid during an influenza pandemic can not be counted on as multiple jurisdictions in a given region may be affected simultaneously and have limited aid to offer.								

**Elements of an Influenza Pandemic Plan for Each System and Facility Should Include the Following:** *(continued)*

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Coordinate all requests for assistance with the next higher level governmental entity (e.g., local officials coordinate with State officials, State officials coordinate with Federal officials). Coordination is essential to ensure the assets (1) can be provided in accordance with existing laws, (2) the requested resources are available. During a pandemic influenza, assistance from the next higher level of government may be limited due to competing higher priority demands and the effects of the influenza pandemic on these assets.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Integrate planning with emergency service and criminal justice organizations such as courts, law enforcements, probation and parole, social services, multi-jurisdictional entities, public works, and other emergency management providers (fire, EMS, mutual aid, etc.).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Security functions are essential during a pandemic influenza. Through your city or county attorney, corporation counsel or other appropriate authority, collaborate with the Office of the State Attorney General to clarify and review security needs and resources available to your facility.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify local or regional entities, such as health-care agencies, community organizations, businesses, or critical infrastructure sites, to determine potential collaboration opportunities. This collaboration might involve situational awareness, exercises or drills, or public safety training.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Collaborate with local and/or State public health agencies to assist with the possible investigation of contacts within a suspected outbreak, the enforcement of public health orders, as well as the provision of security, protection, and possibly, critical supplies to quarantined persons. Each law enforcement agency will need to interact with local, State, county, and tribal public health officials to define the extent of the authorities provided from State legislation, develop procedures for the local initiation, implementation, and use of those authorities, as well as define protections from liability for law enforcement that may arise from quarantine and isolation enforcement. Operational planning must be flexible enough to address all scenarios in an all hazards environment, and in light of emerging infectious diseases.

# APPENDIX 2 – LAW ENFORCEMENT PANDEMIC INFLUENZA PLANNING CHECKLIST

## LAW ENFORCEMENT PANDEMIC INFLUENZA PLANNING CHECKLIST



In the event of pandemic influenza, law enforcement agencies (e.g., State, local, and tribal Police Departments, Sheriff's Offices, Federal law enforcement officers, special jurisdiction police personnel) will play a critical role in maintaining the rule of law as well as protecting the health and safety of citizens in their respective jurisdictions. Planning for pandemic influenza is critical.

To assist you in your efforts, the Department of Health and Human Services (HHS) has developed the following checklist for law enforcement agencies. This checklist provides a general framework for developing a pandemic influenza plan. Each agency or organization will need to adapt this checklist according to its unique needs and circumstances. The key planning activities in this checklist are meant to complement and enhance your existing all-hazards emergency and operational continuity plans. Many of the activities identified in this checklist will also help you to prepare for other kinds of public health emergencies.

Information specific to public safety organizations and pandemic flu preparedness and response can be found at <http://www.ojp.usdoj.gov/BJA/pandemic/resources.html>. For further information on general emergency planning and continuity of operations, see [www.ready.gov](http://www.ready.gov). Further information on pandemic influenza can be found at [www.pandemicflu.gov](http://www.pandemicflu.gov).

### Develop a pandemic influenza preparedness and response plan for your agency or organization.

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Assign primary responsibility for coordinating law enforcement pandemic influenza preparedness planning to a single person (identify back-ups for that person as well) with appropriate training and authority (insert name, title, and contact information here).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form a multidisciplinary law enforcement/security planning committee to address pandemic influenza preparedness specifically. The planning team should include at a minimum: human resources, health and wellness, computer support personnel, legal system representatives, partner organizations, and local public health resources. Alternatively, pandemic influenza preparedness can be addressed by an existing committee with appropriate skills and knowledge and relevant mission (list committee members and contact information here). This Committee needs to have the plan approved by the Agency Head.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review Federal, State, and local public health and emergency management agencies' pandemic plans in areas where you operate or have jurisdictional responsibilities. Ensure that your plan is NIMS (National Incident Management System) compliant and align your plan with the local Incident Command System (ICS) and local pandemic influenza plans to achieve a unified approach to incident management. See "State and Local Governments," <a href="http://www.pandemicflu.gov/plan/states/index.html">www.pandemicflu.gov/plan/states/index.html</a> and <a href="http://www.fema.gov/emergency/nims/index.shtml">http://www.fema.gov/emergency/nims/index.shtml</a> .
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Verify Command and Control areas of responsibility and authority during a pandemic. Identify alternative individuals in case primary official becomes incapacitated.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Set up chain of command and procedures to signal activation of the agency's response plan, altering operations (e.g., shutting down non-critical operations or operations in affected areas or concentrating resources on critical activities), as well as returning to normal operations.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Determine the potential impact of a pandemic on the agency or organization by using multiple possible scenarios of varying severity relative to illness, absenteeism, supplies, availability of resources, access to legal system representatives, etc. Incorporate pandemic influenza into agency emergency management planning and exercise.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify current activities (by location and function) that will be critical to maintain during a pandemic. These essential functions might include 911 systems in communities where law enforcement is responsible for this activity, other communications infrastructures, community policing, information systems, vehicle maintenance, etc. Identify critical resources and inputs (e.g., employees, supplies, subcontractor services/products, and logistics) that are necessary to support these crucial activities.



**Develop a pandemic influenza preparedness and response plan for your agency or organization (continued)**

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop, review, and approve an official law enforcement/security pandemic influenza preparedness and response plan. This plan represents the output of many or all of the activities contained in this checklist. This plan can be an extension of your current emergency or business continuity plans with a special focus on pandemic influenza and should identify the organizational structure to be used to implement the plan. Include procedures to implement the plan in stages based upon appropriate triggering events.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a pandemic-specific emergency communications plan as part of the pandemic influenza preparedness and response plan, and revise it periodically. The communications plan should identify a communication point of contact, key contacts and back-ups, and chain of communications and clearance. Plan may also include potential collaboration with media representatives or the development of scripts based on likely scenarios guided by the public information officer(s). Coordinate with partners in emergency government and public health in advance.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Designate an individual to monitor pandemic status and collect, organize, and integrate related information to update operations as necessary. Develop a plan for back-up if that person becomes ill during a pandemic. Develop a situational awareness capability that leadership can use to monitor the pandemic situation, support agency decisions, and facilitate monitoring of impact.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Distribute pandemic plan throughout the agency or organization and develop means to document employees/staff received and read the plan.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Allocate resources through the budgeting process as needed to support critical components of preparedness and response identified in your plan.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Periodically test both the preparedness and response plan and the communications plan through drills and exercises; incorporate lessons learned into the plans.

**Plan for the impact of a pandemic on your employees**

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop contingency plans for 30 – 40% employee absences. Keep in mind that absences may occur due to personal illness, family member illness, community mitigation measures, quarantines, school, childcare, or business closures, public transportation disruptions, or fear of exposure to ill individuals, as well as first responder, National Guard, or military reserve obligations.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	As necessary, plan for cross-training employees, use of auxiliary personnel and recent retirees, recruiting temporary personnel during a crisis, or establishing flexible worksite options (e.g., telecommuting) and flexible work hours (e.g. staggered shifts) when appropriate.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a reporting mechanism for employees to immediately report their own possible influenza illness during a pandemic (24/7).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish compensation and leave policies that strongly encourage ill workers to stay home until they are no longer contagious. During a pandemic, employees with influenza-like symptoms (such as fever accompanied by sore throat, muscle aches and cough) should not enter the worksite to keep from infecting other workers. Employees who have been exposed to someone with influenza, particularly ill members of their household, may also be asked to stay home and monitor their symptoms.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Employees who develop influenza-like symptoms while at the worksite should leave as soon as possible. Consult with State and local public health authorities regarding appropriate treatment for ill employees. Prepare policies that will address needed actions when an ill employee refuses to stay away from work. Federal agencies can consult guidance provided by the Office of Personnel Management (OPM) at <a href="http://www.opm.gov/pandemic">www.opm.gov/pandemic</a> .
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify employees who may need to stay home if schools dismiss students and childcare programs close for a prolonged period of time (up to 12 weeks) during a severe pandemic. Advise employees not to bring their children to the workplace if childcare cannot be arranged. Plan for alternative staffing or staffing schedules on the basis of your identification of employees who may need to stay home.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify critical job functions and plan now for cross-training employees to cover those functions in case of prolonged absenteeism during a pandemic. Develop succession plans for each critical agency position to ensure the continued effective performance of your organization by identifying and training replacements for key people when necessary. These replacements should be integrated into employee development activities, and should include critical contracted services as well.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop policies that focus on preventing the spread of respiratory infections in the workplace. This policy might include social distancing practices, the promotion of respiratory hygiene/cough etiquette, the creation of screening mechanisms for use during a pandemic to examine employees for fever or influenza symptoms, using the full range of available leave policies to facilitate staying home when ill or when a household member is ill, and appropriate attention to environmental hygiene and cleaning. (For more information see the <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a> and <a href="http://www.pandemicflu.gov/plan/community/mitigation.html">http://www.pandemicflu.gov/plan/community/mitigation.html</a> as well as OPM's guidance at <a href="http://www.opm.gov/pandemic">www.opm.gov/pandemic</a> .)

**Plan for the impact of a pandemic on your employees (continued)**

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Provide educational programs and materials (language, culture, and reading-level appropriate) to personnel on:</p> <ul style="list-style-type: none"> <li>• pandemic fundamentals (e.g., signs and symptoms of influenza, modes of transmission, medical care),</li> <li>• personal and family protection and response strategies (e.g., hand hygiene, coughing/sneezing etiquette, etc.). Post instructional signs that illustrate correct infection control procedures in all appropriate locations, including offices, restrooms, waiting rooms, processing rooms, detention facilities, vehicles, etc. and,</li> <li>• community mitigation interventions (e.g., social distancing, etc.).</li> </ul> <p>See <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a>, <a href="http://www.cdc.gov/flu/protect/stopgerms.htm">www.cdc.gov/flu/protect/stopgerms.htm</a>, <a href="http://www.cdc.gov/flu/protect/covercough.htm">http://www.cdc.gov/flu/protect/covercough.htm</a>, <a href="http://www.cdc.gov/flu/professionals/infectioncontrol/resphgiene.htm">www.cdc.gov/flu/professionals/infectioncontrol/resphgiene.htm</a>, and <a href="http://www.pandemicflu.gov/pa/community/mitigation.html">http://www.pandemicflu.gov/pa/community/mitigation.html</a>.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Provide training for law enforcement officers, office managers, medical or nursing personnel, and others as needed for performance of assigned emergency response roles. Identify a training coordinator and maintain training records. Ensure all staff are familiar with the local Incident Command System (ICS) and understand the roles and persons assigned within that structure.</p> <p>See <a href="http://www.fema.gov/emergency/nims/index.shtml">http://www.fema.gov/emergency/nims/index.shtml</a> for more information</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Stock recommended personal protective equipment (PPE) and environmental infection control supplies and make plans to distribute to employees, contractors, and others (including detainees) as needed. These supplies should include tissues, waste receptacles, single-use disinfection wipes, and alcohol-based hand cleaner (containing at least 60% alcohol). EPA registered disinfectants labeled for human influenza A virus may be used for cleaning offices, waiting rooms, bathrooms, examination rooms, and detention facilities. PPE may include gloves, surgical masks and respirators (disposable N95s or higher respirators or reusable respirators), eye protection, pocket masks (for respiratory resuscitation) and protective cover wear (e.g., impervious aprons). The specific uses for the above supplies will be advised by State and local health officials during a pandemic. Further information can be found at <a href="http://www.pandemicflu.gov">www.pandemicflu.gov</a> and at <a href="http://www.osha.gov/Publications/OSHA3327pandemic.pdf">http://www.osha.gov/Publications/OSHA3327pandemic.pdf</a>.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Provide information to employees to help them and their families prepare and plan for a pandemic. See <a href="http://www.pandemicflu.gov/plan/individual/index.html">www.pandemicflu.gov/plan/individual/index.html</a>.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Work with State and/or local public health to develop a plan for distribution of pandemic influenza vaccine and antiviral medications to law enforcement personnel. See current HHS recommendations for pandemic influenza vaccine and antiviral use at <a href="http://www.hhs.gov/pandemicflu/plan/sup6.html">http://www.hhs.gov/pandemicflu/plan/sup6.html</a> and <a href="http://www.hhs.gov/pandemicflu/plan/sup7.html">http://www.hhs.gov/pandemicflu/plan/sup7.html</a>.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Encourage and track seasonal influenza vaccination for employees every year. See <a href="http://www.cdc.gov/flu/protect/preventing.htm">www.cdc.gov/flu/protect/preventing.htm</a>. Encourage all employees and their families to be up-to-date on all adult and child vaccinations recommended by the Advisory Committee on Immunization Practices. See <a href="http://www.cdc.gov/nip/recs/adult-schedule.htm">www.cdc.gov/nip/recs/adult-schedule.htm</a> and <a href="http://www.cdc.gov/nip/recs/child-schedule.htm">www.cdc.gov/nip/recs/child-schedule.htm</a>.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Evaluate employee access to and availability of health care, mental health, social services, community, and faith-based resources during a pandemic, and improve services as needed. See <a href="http://www.hhs.gov/pandemicflu/plan/sup11.html">www.hhs.gov/pandemicflu/plan/sup11.html</a>.</p>

**Plan for providing services to the public during a pandemic**

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Identify community-based scenarios and needs likely to occur in a pandemic emergency, and plan how to respond. These might include security of health care and/or vaccine distribution sites, sites that store antiviral medications or vaccines, first-responder activities, protection of critical infrastructure, management of panic and/or public fear, crowd/riot control, enforcement of public health orders, etc.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Develop traffic flow plans to deal with standard traffic management and traffic flow around health-care delivery sites, including vaccine and antiviral distribution sites</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Anticipate community vulnerabilities (vulnerable populations, crimes of opportunity, fraudulent schemes, etc.) and specifically train employees to respond.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Develop guidance for managing/assisting special populations (e.g., persons who are homeless, substance abusers, elderly, and individuals with disabilities, etc.) during a pandemic. This will require coordination with public health agencies, social services, correctional facilities, legal system representatives, and community-based organizations serving these populations.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Work with local and/or State health departments or other relevant resources to ensure health protection and care for detainees or other individuals for whom the agency has responsibility.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Establish policies on post-arrest management of an ill or exposed individual, including what to do should a care facility, precinct, and/or other law enforcement facility refuse entry to an ill or exposed individual.</p>

## Plan for coordination with external organizations and help your community

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review your pandemic influenza preparedness and response plan with key stakeholders inside and outside the agency, including employee representatives, and determine opportunities for collaboration, modification of the plan, and the development of complementary responsibilities.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Share preparedness and response plans with other law enforcement agencies and law enforcement support agencies in your region or State (to include the National Guard) in order to share resources, identify collaboration strategies, and improve community response efforts. Develop, review, and modify local and State mutual aid agreements, if necessary. Mutual aid during an influenza pandemic can not be counted on as multiple jurisdictions in a given region may be affected simultaneously and have limited aid to offer. Availability of one State's National Guard to support another States plans under an existing compact (e.g., Emergency Management Assistance Compact) may be limited due to competing demands in their home State.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Coordinate all requests for assistance with the next higher level governmental entity (e.g., local officials coordinate with State officials, State officials coordinate with Federal officials). Coordination is essential to ensure the assets: (1) can be provided in accordance with existing laws, (2) the requested resources are available. During a pandemic influenza, assistance from the next higher level of government may be limited due to competing higher priority demands and the effects of the influenza pandemic on these assets.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Integrate planning with emergency service and criminal justice organizations such as courts, corrections, probation and parole, social services, multi-jurisdictional entities, public works, and other emergency management providers (fire, EMS, mutual aid, etc.).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	States should plan on utilizing their National Guard to perform law enforcement and security functions during a pandemic influenza. The National Guard under the command and control of the respective State's Governor is not subject to Posse Comitatus Act restrictions as are Federal military forces. Availability of one State's National Guard to support another States plans under an existing compact (e.g., Emergency Management Assistance Compact) may be limited due to competing demands in their home State.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Security functions are essential during a pandemic influenza. Through your city or county attorney, corporation counsel or other appropriate authority, collaborate with the Office of the State Attorney General to clarify and review the authorities granted to law enforcement to include the National Guard. Suggest clarifications and work arounds as needed, and integrate into agency policy, training, and communications activities.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify local or regional entities, such as health-care agencies, community organizations, businesses, or critical infrastructure sites, to determine potential collaboration opportunities. This collaboration might involve situational awareness, exercises or drills, or public safety training.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Collaborate with local and/or State public health agencies to assist with the possible investigation of contacts within a suspected outbreak, the enforcement of public health orders, as well as the provision of security, protection, and possibly, critical supplies to quarantined persons. Each law enforcement agency will need to interact with local, State, county, and tribal public health officials to define the extent of the authorities provided from State legislation, develop procedures for the local initiation, implementation, and use of those authorities, as well as define protections from liability for law enforcement that may arise from quarantine and isolation enforcement. Operational planning must be flexible enough to address all scenarios in an all hazards environment, and in light of emerging infectious diseases.

## REFERENCES

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Information in this presentation was provided by the Bureau of Justice Assistance (BJA), the U.S. Department of Health and Human Services (HHS), and the Centers for Disease Control and Prevention (CDC); with supplemental court safety information provided by the Community Safety Institute (CSI), and the Court Officers' and Deputies' Association (CODA).

# Continuity of Operations Planning For Sheriffs

## Planner's Workbook Pandemic Version



Draft



In the *Continuity of Operations Planning for Sheriffs Preparation and Reference Guide*, participants learned the basic elements of a standard Continuity of Operations Plan and general information about pandemic events. In this workbook, participants will utilize actual COOP templates and learn how to build an allhazards Continuity of Operations Plan for their jurisdictions using a pandemic event and its potential impact on a Sheriff's court operations as an example.

Although this document is a generic, allhazards guide in order to enhance learning and reinforce standard COOP concepts this planner's workbook also contains general information on a potential pandemic event and utilizes pandemic examples in each template and throughout the workbook. For learning purposes and to assist them in preparing for a pandemic event this process specifically focuses on two subtopics: pandemic events and their impact on court operations.

Throughout the workbook specific pandemic information and court operations examples are highlighted in red color and italic font. It is hoped that these two subtopics will provide specific examples that Sheriffs can utilize when building both their pandemic plan as well as their allhazards COOP.

Prior to beginning the Action Activities and the development of a document, we will review some background information and fundamental assumptions regarding a pandemic event.

### **Pandemic Specific Issues Pandemic Influenza – Background**

**Pandemic influenza is a global outbreak caused by a new influenza virus. The virus may spread quickly, possibly causing serious illness and death. Because there is little natural immunity, many people could be at risk, with serious consequences possible. Historically, pandemic influenza has caused widespread harm and death.**

**Influenza is a contagious disease of the lungs which usually spreads by infected people coughing and sneezing. A person can be infected with influenza and not realize it. Most people will have little or no immunity to pandemic influenza. It is estimated that a pandemic virus could kill hundreds of thousands of Americans, and cause tremendous disruption not only to health and medical facilities but to privatesector activities.**

## “Bird Flu”

Scientists are concerned that “bird flu” (H5N1 avian influenza) in Asia could evolve into a virus capable of spreading by humantohuman transmission. Some facts to consider:

- The virus is spreading to birds in new regions.
- The virus has infected more than 200 people, causing death in half the reported cases and severe illness in many others.
- It is believed that in rare cases the virus has spread from one person to another.

Sources: [www.whitehouse.gov](http://www.whitehouse.gov); [www.pandemicflu.gov](http://www.pandemicflu.gov)

## Pandemic Specific Issues Potential Impact and Planning Assumptions

Listed below are some of the potential impacts that sheriffs could face during a pandemic event. These impacts can also be utilized as planning assumptions for the development of the Continuity of Operations Plan.

- In the event of a pandemic, the impact on sheriffs and courts could be severe. According to the U.S. Department of Health and Human Services (DHHS), flu viruses can occur in waves and last from six to eight weeks at a time until the virus is contained, which may be a year or more.
- In such instances, courts will be forced to undertake special actions or even be forced to close their doors.
- Transportation and food delivery may be slowed or halted, depending on how far the pandemic reaches.
- Court personnel may be significantly affected, with some estimates of personnel loss exceeding 40% during the height of the pandemic.

## Action Activities

Throughout this workbook we will present a series of Action Activities. These activities form the basis for the development of a Continuity of Operations Plan.

This planning cannot be done in isolation. As noted earlier, planners from throughout the organization as well as from other organizations will need to be involved in this complicated process.

#### ACTION PLANNING ACTIVITY # 1

This first action planning activity can be completed in narrative form. Take a few moments to complete the following sections for your agency:

- Introduction – who, what, how, when
- Purpose – why. An example of “why”: COOP planning requires agency personnel to review the functions that are truly critical to agency operations. They must consider the threats that could impact them and plan for them. They must determine vital information, personnel and other resources required to continue the agency’s essential functions and plan for the safety of all personnel.
- Applicability and Scope – based on agencies involved

Introduction: EX: **This Continuity of Operations Plan will delineate how essential functions will be maintained within this jurisdiction during an allhazards emergency.**

Purpose: EX: **This plan is specifically designed to keep the Office of Sheriff operational during an allhazards emergency.**

Applicability and Scope: EX: This Continuity of Operations Plan is for the Office of the sheriff and includes all other agencies whose essential functions are impacted by the legal duties and responsibilities of the Office of the Sheriff.

Prior to completing the next Action Planning Activity on essential functions, let's take a moment to review what essential functions are, and some of their characteristics.

### Essential Functions

Essential Functions are those functions that enable an organization to:

- Provide vital services
- Exercise civil authority
- Maintain the safety of the general public
- Sustain the industrial or economic base during and emergency

Characteristics of essential functions:

- Functions that must be continued in all circumstances
- Functions that cannot suffer an interruption of more than 12 hours

### ACTION PLANNING ACTIVITY # 2: IDENTIFY ESSENTIAL FUNCTIONS

Identifying essential functions is the single most important component of the COOP. It is incumbent on each agency to determine its own essential functions, prioritize them, and develop specific methodologies to keep these essential functions operational during a prolonged emergency such as a WMD attack or pandemic event.

Utilizing the information previously presented, identify all essential functions of the participating agencies. Once these functions have been identified, list them on the worksheet by order of priority. For example, essential functions for Sheriffs may include: responding to calls for

service, traffic enforcement, civil process, jail operations, investigations and court security.

NOTE: The NSA acknowledges that the Office of the Sheriff may have scores of essential functions that are mandated by law or otherwise imposed on the office. Within each essential function there may be dozens of operational strategies and even more tactical plans that are required to perform the essential functions. Since so many duties, responsibilities and activities are involved, the task of properly identifying essential functions, operational strategies and tactical plans may take weeks or longer in some agencies. For the purposes of the NSA COOP technical assistance program and this Planner's Workbook, participants will only be focusing on the preidentified essential function of court security.

Courts throughout the nation are dependent on local sheriffs to provide a multitude of services that are essential to everyday operations. Arguably, security is chief among the court system support functions of a sheriff's office. This legal obligation also represents one of the Sheriff's essential functions. Even though the Office of the Sheriff and the courts are separate entities that operate independently, the constitutional duties they each perform necessitate that they cooperate in partnership with each other in order to deliver coordinated services to the public they serve.

In this activity we are assuming that one of the essential functions of the Sheriff during a pandemic event is court security. We then list under Operational Strategies all of those elements which are needed to maintain the essential functions, such as: posting officers for court security, providing officers for transporting prisoners, providing protection to prosecutors, defense attorneys, prisoners, mental health patients and other members of the public who are in court facilities on a regular basis.

You may need multiple pages for this activity.

<b>Essential Function</b>	<b>Operational Strategies</b>
<i>Court Security</i>	<i>Prisoner Transportation</i>
	<i>Prisoner Housing</i>
	<i>Prisoner isolation/distancing</i>
	<i>Staffing and posting of Court Security Officers</i>
	<i>Protection of Court Security Officers</i>
	<i>Mandatory sanitary procedures Securing proper sanitation and cleaning supplies</i>
	<i>Support staff required to perform basic tasks such as preparing the list of prisoners needed in court and required documents</i>

Finally, we take each individual operational strategy and determine tactical plans for accomplishing the strategy.

For example: the tactical plan for maintaining the assigned strength of officers in the courtroom may include crosstraining of road deputies or investigators who will be able to replace court security officers, thus allowing the courts to stay open and properly functioning.

You may need multiple pages for this activity.

Operational Strategies	Tactical Plans
<i>Prisoner Transportation</i>	<ul style="list-style-type: none"> <li>• <i>Special procedures to separate and isolate prisoners during transportation to court.</i></li> <li>• <i>Special procedures to reduce number of prisoners required to be in court.</i></li> </ul>
<i>Prisoner Housing at Court Facility</i>	<ul style="list-style-type: none"> <li>• <i>Special units for potentially contaminated prisoners</i></li> <li>• <i>New procedures to reduce the number of prisoners transported for court appearances; this will also reduce number of officers needed and time for transportation and supervision of prisoners</i></li> </ul>
<i>Prisoner isolation/distancing</i>	<ul style="list-style-type: none"> <li>• <i>Special procedures to keep prisoners separated while awaiting court appearances; special procedures to require fewer prisoners in court, such as use of video arraignment</i></li> </ul>
<i>Staffing and posting of Court Security Officers</i>	<ul style="list-style-type: none"> <li>• <i>Cross-training of road deputies and investigators as Court Security</i></li> </ul>

<p><i>Protection of Court Security Officers</i></p>	<ul style="list-style-type: none"> <li>• <i>Mandatory sanitary precautions implemented</i></li> <li>• <i>Equipment and supplies provided to reduce exposure</i></li> <li>• <i>Adjusted work schedules and modified work stations to reduce exposure</i></li> <li>• <i>Re-deploy staff to minimize contact with public</i></li> </ul>
<p><i>Mandatory sanitation procedures</i></p>	<ul style="list-style-type: none"> <li>• <i>Personal hygiene measures</i></li> <li>• <i>Training</i></li> <li>• <i>Cleaning procedures in holding facility, in court and in vehicles</i></li> <li>• <i>Enforcement policies</i></li> </ul>
<p><i>Securing proper sanitation and cleaning supplies</i></p>	<p><i>If supplies are limited, allocation of supplies between jail needs and court needs</i></p>
<p><i>Support staff required to perform basic tasks such as preparing the list of</i></p>	<ul style="list-style-type: none"> <li>• <i>Administrative</i></li> <li>• <i>Technology</i></li> </ul>

## Phase I Activation and Relocation

In this first phase, the initial steps of declaring an emergency and activating the Continuity of Operations Plan are delineated. Properly establishing this process is extremely important as it may differ depending upon the crisis involved and who has authority or jurisdiction to declare an emergency and the resulting response. COOP planners may have to research state statute or organizational policies and procedures in order to make these determinations.

- Decision Process

COOP planners must develop a stepbystep decisionmaking process that can be followed by the agency executive who is going to declare an emergency and call for activation of the COOP plan.

For example:

Step #1 – Incident occurs and Agency Executive is notified by field personnel

Step # 2 – Executive assesses situation and responds

Step #3 – Initiate crisis response plan or  
Initiate crisis communications or  
Initiate Continuity of Operations Plan, or  
Limited or no response required

Since a pandemic event is one that may manifest itself gradually over a period of time, and more often than not involve a series of public health emergencies instead of some triggering major incident (e.g., a chemical release or explosion), COOP planners must properly identify at what point in the series of emergency notifications from the Center for Disease Control (CDC) or state or local departments of health that a pandemic is occurring that it is necessary to initiate the agency's pandemic plan or eventually their Continuity of Operations Plan for Pandemic Events.

In the case of a pandemic, Step #1 may occur over a period of weeks as the illness spreads; correspondingly, Step #2 may require constant monitoring over a sustained period of time.

## ***Activity – Decision-Making Process***

For this activity, list the specific decisionmaking process that will be implemented for a pandemic event.

EX: At the onset of being notified by the local Health Department of a pandemic influenza event anywhere in the country, the Sheriff will personally assign a Deputy Chief to continually monitor the event and make appropriate notifications to the Sheriff on anticipated arrival within the jurisdiction and impact.

- Alert, Notification and Implementation

This portion of the plan will determine when the alert is to be made, and when to notify all parties and begin plan implementation. For example:

Who can declare an emergency and activation of a COOP?

Under what conditions should a COOP should be activated?

How are notifications of COOP activation made to staff, stakeholders, media and the public?

Once again, since a pandemic event occurs in waves that may each last six to eight weeks and occur over a year or more, determine what specific alert, notification and implementation procedures will be used by your agency during a pandemic event. Remember, health officials may declare the emergency, but who in your organization officially activates the plan and under what conditions? Also take into consideration that traditional forms of communication such as personal notifications may not be appropriate during a pandemic.

In the following activity, list how alerts, notifications and implementation will be executed during a pandemic event.

**EX: Notifications of callups to increase manpower and field strength during the pandemic influenza emergency will be made by Watch Commanders as relayed by Supervisors to all on duty and off duty personnel utilizing department radios, pagers and the telephone system. If Deputies are not located, a patrol car and Supervisor will be dispatched to their residence to make personal notification of immediate on duty status.**

The following section contains the templates that properly identify orders of succession, delegation of authority during a declared emergency, and devolution after the event has concluded.

COOP planners may need to review applicable state and local statutes and organization policies and procedures including Memorandums of Understanding or other agreements that may be legally binding and have been executed by their organization or other entities that directly impact or affect the operations of their organization.

- Leadership Orders of Succession Delegations of Authority Devolution

Orders of succession provide for the orderly and predefined assumption of senior agency offices during an emergency in the event that any officials are unavailable to execute their legal duties.

Orders of succession should include:

- Conditions under which succession will take place
- Method of notification
- Limitations on delegations of authority by successors
- At least three levels deep

**ACTION PLANNING ACTIVITY # 3: IDENTIFY ORDERS OF SUCCESSION**

Utilizing the information previously presented, as well as applicable statues and organizational policies, identify all key leaders and their order of succession.

<b>Position/Successors</b>
<i>1. Sheriff/ appointed by County Board of Commissioners as allowed by statute</i>
<i>2. Under Sheriff/ appointed by Sheriff</i>
<i>3. Judge/ appointed by Governor</i>
<i>4. Court Clerk/ appointed by Judge with approval of County Board of Commissioners</i>
5.
6.
7.
8.
9.

Delegations of Authority are formal documents that specify the activities that those who are authorized to act on behalf of the agency head or other key officials may perform.

Delegations of Authority are required to ensure:

- Continued operations of agencies and their essential functions
- Rapid response to any emergency situation requiring COOP plan implementation

#### ACTION PLANNING ACTIVITY # 4: DELEGATION OF AUTHORITY

Utilizing the information previously presented, complete each one of the sections on the following Delegation of Authority template.

NOTE: Remember that for some positions you may need to refer to local, state, or federal statutes for guidance.

You may need multiple pages for this activity.

Authority being delegated	Limits of authority	Person to whom authority is delegated (by title)	Circumstances of delegation, including commencement and termination	Successor's authority to re-delegate functions and activities
<i>Orders of quarantine</i>	<i>As instructed on warrants and court documents</i>	<i>Sheriff</i>	<i>To commence upon receipt of quarantine orders from the Health Department and signed by judge</i>	

Authority being delegated	Limits of authority	Person to whom authority is delegated (by title)	Circumstances of delegation, including commencement and termination	Successor's authority to re-delegate functions and activities

Authority being delegated	Limits of authority	Person to whom authority is delegated (by title)	Circumstances of delegation, including commencement and termination	Successor's authority to re-delegate functions and activities

Devolution is the capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees or facilities.

Devolution planning addresses catastrophic or other disasters that render an agency's leadership and staff unavailable or incapable of performing its essential functions from either its primary or alternate facilities.

## PHASE II: ALTERNATIVE FACILITY OPERATIONS

Phase II of the COOP identifies alternate facilities relative to missioncritical systems and practices; and procedures to identify, store, and recover vital files, records and databases.

Attributes of alternate locations include:

- Sufficient space and equipment
- Capability to perform essential functions within 12 hours and for up to 30 days
- Reliable logistical support, services, and infrastructure systems
- Consideration for health, safety, and emotional wellbeing of personnel
- Interoperable communications
- Computer equipment and software

## ACTION PLANNING ACTIVITY # 5: IDENTIFICATION OF ALTERNATE FACILITIES

All agencies should designate locations that can be used to carry out essential functions in a COOP situation.

Utilizing the information previously presented, determine alternate facilities from which you may have to operate in order to ensure the delivery of essential functions.

Often agencies must have multiple alternate facilities. For example, the Sheriff may run his operations and communications from a local emergency management command center, while jail operations may have to be moved to a National Guard facility or military base for security reasons.

When developing your list and completing this activity, remember that alternate facilities should provide:

- Immediate capability to perform essential functions under crisis conditions
- Sufficient space and equipment to sustain the relocating population. Since the need to relocate may occur without warning, or access to normal operating facilities may be unexpectedly denied, agencies are encouraged to preposition and maintain minimum essential equipment for continued operations at the alternate operating facilities.
- Interoperable communications with all identified staff and the public
- Reliable logistical support, services and infrastructure systems, including water, electrical power, heating and air conditioning, etc.
- Ability to sustain operations for 30 days or more
- Consideration for the health, safety, and emotional well being of relocated persons
- Appropriate physical security and access controls

In order to list all of the alternate facilities and their specific purpose, you may need multiple pages to complete this activity.

### Pandemic Specific Issues

In a pandemic event you may not have to relocate to an alternative facility but may have to completely sanitize your existing facility which will require extensive temporary relocate of individuals.

<b>Alternate Facility</b>	<b>Purpose</b>
<i>1. National Guard Building</i>	<i>Detention center</i>
<i>2. Old Wal-Mart building</i>	<i>Courts and staff offices</i>
<i>3. Baptist Church Storage building</i>	<i>Court records storage</i>
<i>4. County Clerk's IT Office</i>	<i>IT operations, database storage Computer-based functions</i>
5.	

6.	
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Interoperable communications	
26. Attributes of interoperable communications include:	
• Capability commensurate with an agency's essential functions	

- Ability to communicate with essential personnel
- Ability to communicate with other agencies, organizations, and customers
- Access to data and systems
- Communications systems for use in situations with and without warning
- Ability to support COOP operational requirements
- Ability to operate at the alternate facility within 12 hours, and for up to 30 days
- Interoperability with existing field infrastructures

In the following section, list the preparations that are in place or need to be made to ensure interoperable communications between COOP partners. Include current technology available, and identify the specific technologies that will be utilized during an emergency and what organization will be supplying and supporting the technology.

EX: Sheriff's field radios that are normally distributed to all personnel will be secured from sick employees and made available to all shift workers.

## Action Planning Activity # 6: Identify MissionCritical Systems

Utilizing the information previously presented on critical communications and mission critical systems, list on the chart below the name and/or type of system, i.e. alarms, water, heating/air conditioning, database archive, computer, fax or secure phone lines, its current location, and other locations that have redundant capabilities or where systems can be relocated if necessary.

For example: **Data from mainframe computers can be rerouted through offsite locations back to portable laptops that are stored in airconditioned alternative facilities.**

You may need multiple pages for this activity.

System Name/Type	Current Location	Other Locations
		<i>Laptops taken to and</i>

System	Current	Other
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### Action Planning Activity # 7: Identify Vital Files, Records, and Databases

On the following form, utilizing the information previously presented, complete the activity identifying vital files, records, and databases. You may need multiple pages for this activity.

Vital file, record, or database	Form of Record	Pre-positioned alternative facility	Hand-carried to alternative facility	Backed up at third location
<i>Daily court docket</i>	<i>Paper</i>	<i>Old Wal-Mart building</i>	<i>Copy with transportation court deputies</i>	

Vital file, record, or database	Form of Record	Pre-positioned alternative facility	Hand-carried to alternative facility	Backed up at third location

## Deployment and Relocation

Each agency must develop specific deployment procedures in the event that operations must be moved to an alternative site.

Deployment procedures should address both partial and full deployment of essential functions that are critical to operations. Once deployment procedures are activated, relocation begins. Relocation is the actual movement of essential functions, personnel, records and equipment to the alternate operating facility. Relocation also includes transferring communications and obtaining supplies and equipment that are needed but not in place at the alternate facility.

On the chart below you will need to list all of the tasks involved in relocating your various facilities. Make sure you include under Who the person(s) authorizing the change and who will actually be performing the tasks. Not all categories may apply to each task determined.

You may need multiple pages for this activity.

<b>Tasks</b>	<b>Who</b>	<b>Where</b>	<b>How</b>	<b>When</b>
<i>Return to primary facility</i>				
<i>Transfer of vital records</i>				
<i>Transfer of communications</i>	<i>Communications Supervisor</i>	<i>Back-up dispatch center</i>	<i>Route to back-up dispatch</i>	<i>May 1</i>

<b>Tasks</b>	<b>Who</b>	<b>Wher</b>	<b>How</b>	<b>Whe</b>
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### Phase III – Reconstitution

Reconstitution is the process of returning to the agency’s primary location or longterm temporary facility as a fully functional entity. Some of the basic elements of reconstitution include:

- Determining if primary facility or longterm temporary facility is suitable for operations
- Scheduling orderly return
- Transfer of vital records
- Transfer of communications
- Notification of all employees

A Reconstitution Plan should be developed by the COOP planners in order for operations to return to normal as soon as possible.

You may need multiple pages for this activity.

<b>Tasks</b>	<b>Who</b>	<b>Where</b>	<b>How</b>	<b>When</b>
<i>Return to primary facility</i>				
<i>Transfer of vital records</i>				
<i>Transfer of communications</i>	<i>Communications Supervisor</i>	<i>Back to primary dispatch</i>	<i>Re-routing of all 911 systems</i>	<i>June 4</i>

<b>Tasks</b>	<b>Who</b>	<b>Wher</b>	<b>How</b>	<b>Whe</b>
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## COOP Planning Responsibilities

This section should include additional delineation of COOP responsibilities of each key staff position, to include those identified in the order of succession and delegation of authority, and others, as appropriate.

### Action Planning Activity # 8: COOP Planning Responsibilities

Utilizing the information previously presented, the COOP planner should assign positions to be responsible for the various elements of the COOP plan that need to be updated. For example: The Personnel Director might be responsible for maintaining and updating telephone and email rosters of employees; the Director of Training might be responsible for periodic testing of COOP Plan procedures.

You may need multiple pages for this activity.

Responsibility	Position
<i>Maintaining and updating employee contact database</i>	<i>Sheriff's liaison</i>
<i>COOP Plan testing</i>	<i>Court Administrative Assistant</i>

Responsibility	Position
----------------	----------

## Action Planning Activity # 9: Agency Family Care Plan

If your agency or organization in its Emergency Operations Plan (EOP) has developed a Family Care Plan for its employees and their immediate families, you may want to include a longterm Family Care Plan in your COOP. This plan could outline specific commitments that the organization will make to care for employees and their families such as: priority medical care, designated shelters, or special safety and security arrangements.

### Family Care Plan

Employees	Benefits
Line	Level 1 – Sanitary work kits
Supervisors	Level 1 and 2
Administrators	Level 1, 2 and 3

Employee's Immediate	
----------------------	--

### Testing, Training and Exercises

Training, testing and conducting exercises are an integral component of COOP planning and preparation and may include:

- Individual and team training of agency personnel
- Internal agency testing and exercising of COOP plans and procedures
- Testing of alert and notification processes
- Refresher orientation for COOP personnel
- Joint interagency exercising of COOP plans (if appropriate)

### MultiYear Strategy and Program Management Plan

This section should discuss how the organization plans to develop their MultiYear Strategy and Program Management Plan (MYSPMP).

The MYSPMP should address shortand longterm COOP goals, objectives, and timelines; budgetary requirements; planning and preparedness considerations; and planning milestones or tracking systems to monitor accomplishments.

It should be developed as a separate document.

#### Action Planning Activity #10: COOP Plan Maintenance

This section should address how the organization plans to ensure that the COOP Plan contains the most current information.

Federal guidance states that organizations should review the entire COOP Plan at least annually. Key evacuation routes, roster and telephone information, as well as maps and room/building designations of alternate locations, should be updated as changes occur.

Annex A: Authorities and References This annex should cite a list of authorities and references that mandate the development of this COOP Plan, and provide guidance towards acquiring the requisite information contained in this COOP Plan.

Annex A: Authorities and References:

Annex B: Operational Checklists This section should contain operational checklists for use during a COOP event. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task.

Annex B: Operational Checklists:

Annex C: Alternate Location/Facility Information This annex should include general information about the alternate location/facility. Examples include the address, points of contact, and available resources at the alternate location.

Annex C: Alternate Location / Facility Information:

Annex D: Maps and Evacuation Routes This annex should provide maps, driving directions, and available modes of transportation from the primary facility to the alternate location. Evacuation routes from the primary facility should also be included.

Annex D: Maps and Evacuation Routes:

Annex E: Definitions and Acronyms This annex should contain a list of key words, phrases, and acronyms used throughout the COOP Plan and within the COOP community. Each key word, phrase and acronym should be clearly defined.

You may need multiple pages for this activity.

Annex E: Definitions and Acronyms:

***NOTE: This document is in draft form. The materials presented are being pilot tested through a series of training sessions with local sheriffs. Following these sessions the document will be prepared in final form.***

*This curriculum and workbook were prepared by the National Sheriffs Association under a subcontract with American University under the auspices of the Bureau of Justice Assistance National Training and Technical Assistance Project at American University. This project is supported by Grant No. 2005-DD-BX-K053, awarded to American University by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. Points of view or opinions in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.*

## SHERIFF'S CONTINUITY OF OPERATIONS PLANNING PILOT

### SITE EVALUATION

The NSA Sheriffs' COOP project is a mechanism to provide Sheriffs and their command staff officers with essential information that will enable them to develop an allhazards Continuity of Operations Plan, and, specifically, one focused on planning and preparing for a pandemic event. After reviewing the materials and information presented in this package, please respond to the following questions.

#### COOP PREPARATION GUIDE

1. Did the information contained in the COOP Preparation Guide provide you with the information necessary to develop a foundational understanding of a Continuity of Operations Plan?

YES NO

2. Did the information provided give you a basic understanding of a pandemic event and its potential implications for your agency?

YES NO

3. Was the Guide useful? NO SOMEWHAT YES EXTREMELY USEFUL

4. Was the Guide easy to use? NO SOMEWHAT YES EXTREMELY EASY

5. In addition to the materials provided, what other information would have been useful to you?

6. Did the guide assist you in developing a COOP? YES NO

7. Did the Guide assist you in your pandemic planning and preparation for your agency? YES NO

8. Did the Preparation Guide assist you in understanding who to partner with in order to develop your COOP for a pandemic incident?

YES NO

9. What suggestions do you have for making the Preparation Guide more useful?

10. What suggestions do you have for making the Preparation Guide more user friendly?

11. Compared to other management planning tools, how would you rate the COOP Preparation Guide?

POOR FAIR GOOD EXCELLENT

12. Would you recommend this Preparation Guide to other Sheriffs who are developing a COOP for their agency?

YES MAYBE NO

13. What was the most helpful section of the Preparation Guide? COOP Overview Pandemic Overview Partnership Process

14. What was the least helpful section? COOP Overview Pandemic Overview Partnership Process

## WORKBOOK

1. Was the Workbook helpful?

YES NO

2. Were the templates in the Workbook easy to use? YES NO

3. Were the templates beneficial to your planning process? YES NO

4. What suggestions do you have for making the Workbook more useful?

5. What suggestions do you have for making the Workbook more userfriendly?

6. Compared to other management planning tools, how would you rate the COOP Workbook?

POOR FAIR GOOD EXCELLENT

7. Would you recommend this Workbook to other Sheriffs who are developing a COOP for their agencies?

YES MAYBE NO

8. What was the most helpful section of the COOP Workbook?

NONE TEMPLATES PANDEMIC ALL OF IT EXAMPLES

Please share any comments you may have:

# Continuity of Operations Plan

“Pandemic Influenza”



## Story County Sheriff's Office

*Paul H. Fitzgerald, Sheriff*

1315 South B Ave  
Nevada, Iowa 50201



In cooperation with the National Sheriffs' Association

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# **I. Introduction, Purpose, Application and Scope**

**Introduction:** The Story County Sheriff's Office is comprised of 31 sworn officers and 52 civilian employees who are responsible for the civil, criminal, and incarceration needs of the county. The Sheriff's Office operates its administrative office and field services, support services, communications, and jail divisions within the newly constructed Story County Justice Center. The Justice Center located in the central Iowa town of Nevada. It houses the offices of the Sheriff, Clerk of Court, County Attorney, and the District and Associate District Court. Each day hundreds of people work and conduct business throughout the Justice Center as it functions to meet the criminal justice needs of the 80,000 citizens of Story County.

**Purpose:** The purpose of this Continuity of Operations Plan (COOP) is to identify and facilitate the courses of action necessary to maintain essential Sheriff's Office operations during a large-scale, long-term emergency. In establishing this plan, the mission-essential responsibilities of each component of the Sheriff's Office will be identified. The COOP will guide administrators and supervisors through implementation of the plan, addressing issues such as uninhabitable facilities or significant losses of personnel, and the transitions to and from temporary locations.

The Story County Sheriff's Office COOP will cover a wide range of topics which can be divided into Planning, Plan Maintenance, and Operations sections. The Planning section will clearly define the orders of succession and delegation of authority, as well as identify the Sheriff's Offices essential-functions, mission critical systems, vital records, and alternative facilities. The Plan Maintenance stage will identify long and short-term plan goals, timelines, planning and preparedness considerations, as well as establish milestones and tracking systems to monitor accomplishments.

The Operations section is the most important component of the plan as it is designed to specifically address how the Sheriff's Office will function during a large-scale, long-term emergency based on the information presented in the Planning section. It will specify how emergencies are identified and assessed. It will define when and how the COOP is implemented, and differentiates operational needs between full and partial deployment. The Operations section also addresses the actions that need to take place throughout the different phases of an emergency.

**Phase I** (activation and relocation phase) -consists of the activation of the COOP and the relocation of operations. Phase I will commence upon the order to implement the COOP and will include up to the first 12 hours of operations. **Phase II** (alternate facilities operations phase) -encompasses all operations at alternate facilities. It will occur 12 hours after the implementation until termination of COOP procedures. **Phase III** (reconstitution phase) -occurs between termination of COOP procedures and the return to normal operations.

The Continuity of Operations Plan will specify the essential personnel, functions, and resources needed to ensure that the Sheriff's Office essential-functions are maintained throughout an emergency. It will set

forth procedures for responding to the emergency while safeguarding essential equipment, documents, and personnel. The COOP will facilitate the transition through each of the three phases to ensure a timely and effective resumption to the Sheriff's Office's pre-emergency level of operation.

**Applicability and Scope:** The Continuity of Operations Plan will not only impact the Sheriff's Office, but it will affect the entire criminal justice system in and around Story County. Implementation will also significantly impact the citizens of Story County because the Sheriff's Office essential-functions are diverse and far-reaching tasks ranging from public safety to the issuance of permits. The Office of the Sheriff and the citizens of Story County will be dependant upon each other for support and cooperation during a prolonged, large-scale emergency.

Continued operations of the Sheriff's Office during an emergency is critical; that is why it is vital for this plan to: (1) ensure the continued performance of essential-functions, (2) protect essential facilities, equipment, and records, (3) reduce disruption to operations, (4) reduce danger to personnel by minimizing damage and losses, and (5) achieve a timely and orderly recovery of operations following the emergency. The COOP must also address the following issues as they affect the essential-functions of the Sheriff's Office during an emergency: (1) work schedules and compensation, (2) hours of work, (3) time-off, (4) additional staff support, (5) logistical support, (6) discipline and liability, and (7) education and training.

## **II. Planning**

The Planning section is designed to introduce, describe, and provide visual aides to help understand the many elements that must be planned for and executed in the event of a large-scale, long-term emergency. This section introduces many of the topics that will be further explained in the Operations stage. The tables included are guides intended to identify the topics, functions, and responsibilities that will be described in more detail throughout the Operations section. In planning for a catastrophic emergency, the most important component is to identify the essential-functions of the Sheriff's Office. The essential-functions must then be prioritized and specific methodology needs be developed for maintaining them during a prolonged emergency.

### **1) Essential-Functions**

In order to maintain the operations of the Sheriff's Office during a large-scale, long-term emergency, the essential-functions of each division within the office must be identified. Essential-functions are the activities that must be performed to: (1) ensure the safety and well-being of the public, (2) provide vital services, (3) exercise civil authority, and (4) sustain the industrial and/or economic base during an emergency. To qualify as an essential function, the task must not be able to suffer a delay in operations of more than 12 hours and that function must be maintained in all circumstances thereafter. The following essential-functions have been established based on the statutory obligations of the Office of Sheriff in the state of Iowa, as well as from the policies and procedures of the Story County Sheriff's Office.

Each essential-function will have a number of operational strategies under it. The operational strategies are the elements required to maintain each essential-function. Under each operational strategy are

technical plans. The technical plans are the specific tasks that need to be fulfilled to achieve each operational strategy.

The essential-functions identified by the Story County Sheriff's Office are: (1) Law Enforcement/Public Safety, (2) Jail Operations, (3) Civil and Court Process, (4) Court Security, and (5) Issuance of Permits. The operational strategies and technical plans tables are contained in the Operations section under Phase II- Alternate Facility Operations (Tables 7a-e).

In order to maintain the essential-functions of the Sheriff's Office, it is important to clearly identify the orders of succession throughout the office in the event that this process is needed. The County Attorney's Office, Clerk of Courts Office, and Senior District Court Judge's orders of succession have also been identified so Sheriff's Office staff will know who to contact in the event of an emergency as those offices also operate within the Story County Justice Center.

## **2) Orders of Succession**

Pre-defining the orders of succession is a vital element in managing a long-term, large-scale emergency. The orders of succession are designed to maintain Sheriff's Office operations during and after an emergency. Successions may take place for any number of reasons including, but not limited to, fatigue caused by extended tours-of-duty, unavailability, or incapacitation directly caused by the emergency. The orders of succession include the conditions under which succession will take place, the method of notification, and the limits on delegations of authority by successors.

**a. Orders of Succession** (IA Code 331.651, IA Code 66.19, and Story County Sheriff's Office [SCSO] Policy #322)

1<sup>st</sup> – Sheriff-Elected then sworn in by a Judge

2<sup>nd</sup> -Chief Deputy-appointed by the Sheriff

3<sup>rd</sup> -Senior Division Commander-appointed by the Sheriff

4<sup>th</sup> -Next most senior Division Commander-appointed by the Sheriff

If the Sheriff, Chief Deputy, and none of the Division Commanders are available, the chain of command will proceed to the most senior Sergeant/Supervisor. The succession will continue through the rank of Sergeant/Supervisor according to seniority. If no Sergeants/Supervisors are available, succession will then go the senior line-staff employee on-duty through that rank based on seniority. Seniority is based on an employee's continuous, full-time service based on job classification (Public Professional and Maintenance Employees Local 2003 Contract). The order of succession will remain in affect until the Board of Supervisors can appoint a new Sheriff.

“In the event of a joint operation involving Sheriff's personnel of different divisions, an incident commander will be designated in advance of the joint operation. If the incident is an unplanned occurrence, the ranking supervisor on duty in the division of

the occurrence will be in charge of all personnel assisting with the incident until relieved by command.” (SCSO Policy 322 II. D)

**b. Conditions of Succession** The position of **Sheriff** (IA Code 331.651, IA Code 66.19, and SCSO Policy #322)

-The Sheriff is an elected position and then once elected, granted to position of Sheriff after completing the Oath of Office administered by a Judge. -The Chief Deputy will take over command in the absence of the Sheriff either by order of the Sheriff or if the Sheriff is unable to make that authorization due to his/her incapacitation.

o The Chief Deputy shall assume the Office of Sheriff after qualifying as provided in section 331.651 of the Iowa Code. The Chief Deputy shall hold the office until a successor is appointed or elected to the unexpired term as provided in Chapter 69 of the Iowa Code. -The Chief Deputy will be notified of his/her need to take command in person or by telephone from the Sheriff.

- The Chief Deputy, in the absence of the Sheriff, will have the same authority to delegate that the Sheriff possessed prior to succession in order to maintain the essential-functions of the Sheriff’s Office.

The position of **Chief Deputy** (SCSO Policy #322)

-The Chief Deputy was appointed by the Sheriff. -The senior Division Commander will take over in the absence of the Chief Deputy. -In the absence of the Chief Deputy and a Division Commander the senior sergeant will take over command. -Notification of succession will be conducted by the Sheriff or designee in person or by telephone. -The successor to the position will have the same authority to delegate that the commander

possessed prior to succession in order to maintain the essential-functions of the division.

The Position of **Field Services Commander** (SCSO Policy #322)

-The Field Services Commander was appointed by the Sheriff. -The senior Sergeant will take over command of the field services division in the absence of the commander or by the authority of the Sheriff. -In the absence of the senior Sergeant or by the authority of the Sheriff, the most senior patrol deputy will take over command of the field services division. -Notification of succession will be conducted in person or by telephone by the Field Services Commander, Sheriff, or Sheriff’s designee. -The successor to the position of Field Services Commander has the full authority to act and delegate as the field services commander did prior to succession.

The position of **Jail Administrator** (SCSO Policy #322) -The Jail Administrator was granted authority by the Sheriff.

-The Operations Sergeant will take over command of the jail division in the absence of the Jail Administrator or by the authority of the Sheriff. -In the absence of the Operations Sergeant or by the authority of the Sheriff, the most senior supervisor or sergeant will take over command of the jail division.

-The most senior detention officer on-duty will take over command of the jail division in the absence of the Jail Administrator, Operations Sergeant, on-duty Sergeant/Supervisor, or by the authority of the Sheriff.

-Notification of succession will be conducted in person or by telephone by the Jail Administrator, Sheriff, or Sheriff's designee. -The successor to the position of Jail Administrator has the full authority to act and delegate as the Jail Administrator except in the event of authorizing the use of deadly force.

The position of **Communications Commander** (SCSO Policy #322) -The Communications Commander was granted authority by the Sheriff. -The Communications Operations Manager will take over command of the communications division in the absence of the commander or by the authority of the Sheriff. -The Communications Supervisor will take over command of the communications division in the absence of the Communications Commander and Communications Operations Manager, or by the authority of the Sheriff. -The senior communicator on-duty will take over command of the communications division in the absence of the Communications Commander, Communications Operations Manager, Communications Supervisor, or by the authority of the Sheriff. -Notification of succession will be conducted in person or over the telephone by the Communications Commander, Sheriff, or Sheriff's designee. -The successor to the position will have the same authority to delegate that the commander possessed prior to succession in order to maintain the essential-functions of the division.

The position of **Support Services Commander** (SCSO Policy #322) -The Support Services Commander was appointed by the Sheriff. -The Training Sergeant will take over command of the support services division in the absence of the commander or by the authority of the Sheriff. -The Support Services Supervisor will take over command of the support services division in the absence of the Commander and Training Sergeant, or by the authority of the Sheriff. -Notification of succession will be conducted in person or by telephone by the Support Services Commander, Sheriff, or Sheriff's designee. -The successor to the position of Support Services Commander has the full authority to act and delegate as the Support Services Commander did prior to succession.

The position of **District Court Judge** -The position of District Court Judge was appointed by the Governor. -The most senior resident District Court Judge will take over command of the courthouse workgroup in the event of emergency operations.

-The next most senior resident District Court Judge will take over command in the absence of the senior resident District Court Judge or if that individual is unable to perform his/her function. -Each subsequent succession will be based solely on seniority as there is no other distinction between District Court Judges. -Each successor will have the same authority to delegate. -No known notification of succession system is in order; therefore authority to implement emergency operations is at the discretion of the most senior district judge on-duty.

#### The position of **County Attorney**

-The County Attorney is an elected position and then granted the position after completing the Oath of Office administered by a Judge. -The First Assistant County Attorney will take over command of the County Attorney's Office in the absence of the County Attorney. -The next most senior Assistant County Attorney will take over command of the County Attorney's Office in the absence of the County Attorney. - Notification of succession will be conducted in person or by telephone by the individual relinquishing command. -The successor has the same authority to delegate that the County Attorney possessed prior to succession in order to maintain the essential-functions of the County Attorney's Office.

#### The position of **Clerk of Court** (Iowa Code 602.1215)

-The Clerk of Court is appointed by the District Court Judge of the judicial election district pursuant to Iowa Code (602.1215). -The Trial Court Supervisor acts in the absence of the Clerk of Court. - The most senior Judicial Clerk will take over command of the Clerk's Office in the absence of the Trial Court Supervisor unless otherwise specified by the District Court Administrator or designee. - Notification of succession will be conducted by the District Court Administrator or designee. -The successor to the Clerk of Court has the same legal authority as the Clerk of Court had prior to succession.

Once the Orders of Succession have been established, the Deployment and Relocation section will identify the tasks each position is responsible for after implementation of the COOP.

### 3) Deployment and Relocation

After the COOP has been implemented by the Sheriff or designee, relocation will begin. Relocation is the actual movement of essential-functions, personnel, records, and equipment to the alternate operating facilities. Relocation also includes transferring communications, as well as obtaining supplies and equipment that are needed but may not be in place at the alternate facilities. Table 1 identifies the task to be performed, who is responsible for performing the task, where the task is to be relocated, how the relocation is to occur, and when it will occur (if not superseded by order of the Sheriff or Incident Commander [IC]). The specific operational procedures of Deployment and Relocation are located in the Operations section beginning on page 20, and relocation checklists for each division are located in Annex (B). The checklists breakdown the specific functions associated with each task by division.

**Table 1. Deployment and Relocation**

<b>Task</b>	<b>Who Performs</b>	<b>Where</b>	<b>How</b>	<b>When</b>
<b>Secure immovable equipment</b>	Line staff, each division	As needed	Cover, store, and/or lock equipment	Justice Center evacuated
<b>Notify off-duty staff (all but jail)</b>	Dispatch		Telephone or pager	As needed
<b>Notify off-duty jail staff</b>	Master Control Officer		Telephone	Jail evacuated
<b>Transfer of communications</b>	Communications Commander or IC	All alternate locations	Qwest routes calls to temp. facilities	Upon orders
<b>Transfer of vital dispatch records</b>	Communications staff	Alternate Dispatch site	SCSO sport utility vehicles (SUV's)	Dispatch is evacuated
<b>Transfer of vital Field Service</b>			Emergency	

#### 4) Alternate Facilities

Alternate facilities must be designated in the event of relocation of essential-functions. Relocation sites shall be capable of supporting operations within the first 12 hours of implementation and capable of sustaining operations for up to 30 days in a threat-free environment. Alternate facilities should provide the immediate capability to perform essential-functions under crisis conditions. They should have sufficient space and equipment to sustain the relocating population and have interoperable communications with staff and the public. Alternative facilities need reliable logistical support, as well as services and infrastructure systems that include water/sewer, electricity, and heat. Additional considerations for sufficient alternate facilities should include appropriate physical security and access controls, and should they ensure the health, safety, and emotional well-being of relocated persons.

**Table 2. Alternate Facilities**

<b>Alternate Facility</b>	<b>Function</b>
Story County Administration Building	Clerk of Court
Clerk of Court, Ames Office	Clerk of Court
Ames City Hall	Clerk of Court
Gates Hall-Nevada	Jail
National Guard Armory-Ames	Jail
Conservation Center-McFarland Park Ames	Jail
Emergency Response Vehicle-mobile	Short term dispatch
Ames Police Department Dispatch Center	Dispatch
Electronic Engineering-Lincoln Way Ames	Dispatch
ISU Police Department Dispatch Center-Ames	Dispatch
Oak Park Academy-Nevada	Long-term command post and Sheriff's Offices
Old Ames Middle School	Long-term Sheriff's Office
Story County Administration Building-EOC-Nevada	Command post (Sheriff)
Drug Task-Force Office-Ames	Investigations evidence
Satellite office-Ames	County Attorney's Office
Secondary Roads-8th and M Nevada	Miscellaneous
Human Services Center-	

Huxley Fire Department	Miscellaneous
Kelley Fire Department	Miscellaneous
Maxwell Fire Department	Miscellaneous
McCallsburg Fire Department	Miscellaneous
Roland Fire Department	Miscellaneous
Slater Fire Department	Miscellaneous
Story City Fire Department	Miscellaneous

## **5) Interoperable Communications**

Interoperable communications is the ability of the current system to work with or use the parts or equipment of another system to maintain its function. To ensure interoperability of communications, the Story County Sheriff's Office has the ability to perform essential communication functions despite inoperability of its primary communications tower. The communications division is able to utilize either the Iowa State University (Police) tower or the Ames (Police) tower. Operating off those towers will limit the range of communications for the Sheriff's Office as the secondary towers are not as tall as the primary operating tower. If all three towers are inoperable, dispatchers and staff can communicate by using VHF channels. Being forced to operate on VHF channels only allows officers to communicate with dispatchers from their cars because the portable radios officers carry on their person do not operate on VHF channels. Having the ability to operate off multiple towers and on different frequencies allows the communications division to communicate with other agencies as well. The technologies available to be used during an emergency include teletype, pagers, fax, telephone, UHF and VHF radios, Internet, secure network connections, and cellular telephones. Electronic Engineering (of Ames) will be supporting the Communications Division in the event that communications systems do not function properly.

## 6) Mission-Critical Systems

Mission-critical systems consist of a wide range of functions and operations determined to be vital to the continued operation of the Sheriff's Office. The ability to rededicate these systems, functions, and/or equipment at alternate locations in a timely manner is crucial to the safety and security of staff, inmates, and the community. The functions and operations have been identified by name and current location, and an alternative location has been identified for them in Table 3. Relocation and rededication of each mission-critical system is identified in each division's "Relocation Checklist" located in Annex (B).

**Table 3. Mission-Critical Systems**

<b>System Name/Type</b>	<b>Current Location</b>	<b>Alternate Location</b>
Evidence	Sheriff's Office	Secured commercially available trailer
Video recording facility	Sheriff's Office	Patrol vehicle in-car camera
911 Phone record storage	Communications Center	Alternate dispatch center
Iowa and National Crime Information Center (NCIC)	Communications Center	Access to servers
Digital video recording system	Jail	Alternate jail facility
Phone banks (switchboard)	Communications Center	Alternate dispatch center
Video court	Jail and Court	Alternate jail and court facilities
Dictaphone	Sheriff's Office	Alternate Sheriff's Office administration facility
Medical service	Jail	Alternate jail facility
Food service	Jail	Alternate jail facility
Armory	Sheriff's Office	Portable commercial storage trailer

## 7) Vital Files, Records, and Databases

The Sheriff's Office is responsible for identifying, protecting, and having readily availability electronic and/or hard-copy documents, references, records, and information systems needed to support essential-functions under any type of emergency. To ensure records and files are not lost in an emergency, there must be up-to-date duplicate hard copies of records and all electronic files need to be backed up regularly. Backups and duplicates should be kept in a location different than the original files and records. Records will fall into two categories: **emergency operating records**, and **legal and financial records**.

**Emergency operating records (EOR)** are defined as vital records essential to the continued functioning of the office during and after an emergency. These records include: emergency plans and directives, orders of succession, delegations of authority, staffing assignments, and related records of a policy or procedural nature that provide staff with guidance and resources necessary for conducting operations during an emergency. They are also imperative in resuming formal operations at the conclusion of the emergency (identified in Table 4 as EOR).

**Legal and financial records (LFR)** are defined as vital records critical to carrying out the office's essential legal and financial functions and activities, as well as protecting the legal and financial rights of individuals directly affected by Sheriff's Office activities. These records have such high value that their loss would significantly impair the conduct of essential agency functions, having an effect on the legal or financial rights or entitlements of the office, staff, and the public (identified in Table 4 as LFR).

**Table 4. Vital Records**

Vital File, Record, or Database	Form of Record	Pre-Positioned Alternate Facility	Hand-carried to Alternate Facility by:	Backed-up at Third Location
Jail files (EOR)	Paper and electronic	Alternate Jail site	Jail staff	AS400 on the SHERIFF server-Nevada and on a portable hard drive
Warrants (EOR)	Paper and electronic	Alternate dispatch site	Dispatchers	State and National NCIC
			Detectiv	

<b>Personnel Files (EOR)</b>	Paper	Alternate Sheriff's Office site	Chief Deputy or successor	N/A
<b>No Contact Orders (EOR)</b>	Paper and electronic	Alternate dispatch site	On-duty Dispatchers	Clerk of Court-Nevada
<b>Missing Persons (EOR)</b>	Electronic and paper	Alternate dispatch site	On-duty Dispatchers	NCIC – Des Moines
<b>Stolen Vehicle (EOR)</b>	Electronic and paper	Alternate dispatch site	On-duty Dispatchers	NCIC-DSM
<b>Stolen Articles (EOR)</b>	Electronic and paper	Alternate dispatch site	On-duty Dispatchers	NCIC-DSM
<b>Dispatch Rolodex (EOR)</b>	Paper	Alternate dispatch site	On-duty Dispatchers	N/A
<b>Dispatch Jump Bag (EOR)</b>	Paper	Alternate dispatch site	On-duty Dispatchers	N/A
<b>Inmate Medical Record</b>	Electronic and	Alternate	On-duty nurse and/or	N/A

## 8) Reconstitution

Reconstitution is the process of returning to the Justice Center or a long-term temporary facility as a fully functional entity. Reconstitution includes: (1) determining if the primary facility or long-term temporary facility is suitable for operations, (2) scheduling orderly return, (3) transferring vital records, (4) transferring communications, and (5) notifying all employees. A reconstitution plan has been developed in order for operations to return to normal as soon as possible. Prior to reconstitution at the Story County Justice Center, the structural integrity and/or level of contamination will need to be professional assessed.

**Table 5. Reconstitution**

<b>Task</b>	<b>Who Performs</b>	<b>Where</b>	<b>How</b>	<b>When</b>
<b>Return to primary facility</b>	Sheriff or IC	Whenever applicable		Termination of COOP and by State Fire Marshall
<b>Notify off-duty staff (all but jail)</b>	Dispatch		Telephone or pager	Termination of COOP
<b>Notify off-duty jail staff</b>	Master Control officer		Telephone	Termination of COOP
<b>Transfer of communications</b>	Communications Commander or IC	SC Dispatch	Qwest re-routes 911 calls back to SC dispatch	Termination of COOP
<b>Transfer of vital dispatch records</b>	Communications staff	SC Dispatch	SCSO SUV's	Termination of COOP
<b>Transfer</b>			Emergency	Termination of

## 9) Delegation of Authority

If an authority figure responsible for a task or decision listed throughout this document is unavailable to act, a pre-established Delegation of Authority table has been created to quickly identify the authority of the successor (Table 6). Delegation of authority is the process of determining, before the emergency, which individuals or divisions are responsible for making critical decisions and the limitations of that authority. The pre-determined Delegations of Authority will take effect only when the normal authority is rendered unavailable, and the delegated authority will terminate when normal authority is resumed. The Delegation of Authority as explained in Table 6 ensures a rapid response during any emergency that requires COOP implementation and specifies the activities of those who are authorized to act on behalf of the Sheriff's Office. It is essential that officials who may be expected to assume authority in an emergency are trained to carry out their emergency duties.

Delegations of Authority are designed to: (1) identify circumstances under which the authorities would be exercised, (2) document the necessary authorities at all points where emergency actions may be required; detailing the limits of authority and accountability, (3) state the authority of designated successors to exercise direction and the successor's authority to re-dedicate functions and activities as appropriate, and (4) indicate the circumstances under which delegated authorities would become effective, and when they terminate. As noted in Table 6, each successor will have the same authority to rededicate functions and services as their predecessor.

**Table 6. Delegation of Authority**

<b>Authority Being Delegated</b>	<b>Limits of Authority</b>	<b>Person to whom authority is delegated (by title)</b>	<b>Circumstances of delegation, including commencement and termination</b>	<b>Successor's authority to rededicate functions and services</b>
<b>Order to implement COOP</b>	Story County Continuity of Operations Plan	Sheriff's successor	Facilities and/or leadership are, or may become, disrupted for an extended time period	Same authority as predecessor
<b>Order to</b>	SCSO Policy	As ordered	Extent of the	Same authority

<b>Order to Active Off-Duty Deputies</b>	SCSO Policy	Sheriff, Chief Deputy, Field Services Commander, Senior Sergeant, IC	Additional personnel required after Reserve Deputies have been called out	Same authority as predecessor
<b>Order to Activate Reserve Deputies</b>	SCSO Policy	Sheriff, Chief Deputy, Support Services Commander, Senior Sergeant, IC	Additional personnel required	Same authority as predecessor
<b>Order to Activate Off-Duty Staff</b>	SCSO Policy	Sheriff, Chief Deputy, Jail Administrator, designee,		Same authority as predecessor

**10) Agency Family Care Plan**

In the event of COOP implementation, the well-being of Sheriff's Office employee's families is very important and efforts will be made on a prioritized, case-by-case, basis to meet the needs of staff and their families throughout the emergency. At this time there are no plans in place for priority medical care or designated shelters, but through collaboration with the Story County Office of Emergency Management and the Board of Supervisors, the Sheriff's Office will assess the feasibility of implementing such amenities for families.

### **III. Operations Stage**

The following section will identify how and when the Continuity of Operations Plan will be activated and address Sheriff's Office operations thereafter. Coordination is necessary between federal, state, and local emergency management agencies and the Sheriff's Office to ensure a timely and appropriate response to a large-scale, long-term emergency. It is important to identify how, when, and under what circumstances the Sheriff's Office may be forced to respond to a large-scale emergency. For the "Pandemic Avian Influenza Version" of the COOP, the circumstances that lead to implementation of the COOP are in response to a pandemic event. The Decision to Alert section can be tailored to fit any number of emergencies that may require Continuity of Operations Plan implementation, but this version it will address a pandemic event.

In recognizing that there will be many unknowns when responding to a large-scale emergency, some assumptions need to be established to develop the framework for the county's response. It will be assumed that there will still be access to electricity, drinking water, transportation (buses, patrol vehicles, fuel), telephone service, network connections, and telecommunication infrastructure (towers, operational radios). It is also assumed that there has been no structural damage to any of the alternate operations locations, and retail food services (grocery stores and restaurants) are also still available. The circumstances before, during, and after an emergency may cause the Sheriff's Office to deviate from the operational strategies and tactical plans set forth throughout the Operations stage because managers are forced to act in response to the situations they encounter which may not have been anticipated during planning.

#### **1) Decision to Alert**

The World Health Organization recognizes that pandemic events, such as the one this project is designed to respond to, occur relatively slow over time as they tend to spread between animals before the disease is fully transmittable to and between humans. Thus, throughout the time when pandemic influenza is progressing through the stages of "inter-pandemic period", "pandemic alert period", and "pandemic period", the Sheriff or designee will be alerted to changes in the status of the outbreak through e-mails sent by the Story County Office of Emergency Management.

Once an outbreak has reached the "Pandemic Period" (the point when the disease is transmittable between humans) and has the potential to impact Iowans, the Iowa Department of Public Health (IDPH) is responsible for notifying the Story County Health Department who will, in turn, notify Homeward of Mary Greeley Medical Center. Homeward is Story County's public health organization. Homeward would then be responsible for determining if a public health emergency meeting needs to be held and for facilitating the meeting. The meeting is designed to disseminate information and, if necessary, coordinate response efforts. If a public health meeting is to be held, the Office of Emergency Management of Story County will be notified of the meeting via pager, cell phone, and e-mail. Once notified, the Office of Emergency Management will notify the Sheriff or designee about the meeting by phone and/or e-mail.

After the Sheriff or designee attends the public health meeting, the Sheriff will then decide if a Justice Center emergency response meeting is necessary. If the meeting is going to be held, the Sheriff or

designee will advise the on-duty communications personnel to notify the Chief Deputy, Sheriff's Office Division Commanders, the County Attorney, Clerk of Court, most senior resident District Court Judge, and Director of the Office of Emergency Management (or designee[s] for each). At the meeting, the information from public health officials will be presented and attendees will evaluate the extent of the incident and its possible impact on Sheriff's Office and Justice Center operations and personnel.

## 2) Decision to Implement

At the Justice Center emergency response meeting, the decision can be made to initiate the COOP, a lesser involving response plan, or delay action until more information is available. As previously stated, pandemic events often occur over time and the decision to implement the COOP may be delayed as information develops. The Sheriff will make the decision whether or not to initiate the Continuity of Operations Plan.

- **The Sheriff's decision to implement the COOP should occur only when facilities and/or leadership have been, or will likely become, disrupted for a prolonged period of time to the extent that essential-functions could not be provided.**

If the decision is made to delay action, the Sheriff can delegate the responsibility of monitoring the situation through consistent interaction with the Story County Office of Emergency Management.

### **PHASE I-Activation and Relocation (0-12 hours from activation)**

Once the decision has been made to initiate the COOP, the activation and relocation phase begins. The media and public will be notified of the event and implementation of the COOP from the Public Information Officer (PIO) from either Story County Public Health (Homeward), and/or Iowa Department of Public Health. The Sheriff's Office does not have the primary responsibility of disseminating information but may assist in the process. The Sheriff's Office PIO will be responsible for notifying the public if jail operations will be relocated (not advising them of the location) and that visitation will be suspended until further notice.

## 3) Operations

Once the decision has been made to implement the COOP, the Sheriff or designee must then decide if partial or full deployment of operations is necessary. If it is declared that a **full deployment** is necessary, meaning that the operation of all essential-functions must be relocated, then each Division Commander will be responsible for executing evacuation and initiating operations at alternate facilities. To facilitate these responsibilities Commanders will utilize their division specific "Relocation Checklist" located in Annex (B). During full deployment, all tasks on the checklist must be performed within 12 hours. The decision to implement full deployment will occur in the rare instance when all Sheriff's Office administrative and operations facilities are deemed inoperable or entirely contaminated.

If the nature of the emergency only requires **partial deployment**, meaning the relocation of one but not all essential-functions is necessary, the decision to perform the tasks listed on each division's "Relocation Checklist" will be made at the discretion of the incident commander, Sheriff, Division Commander(s) or

the authority listed on the Deployment and Relocation in Table 1. Partial deployment may occur over an extended period of time as the nature of the emergency progresses.

Regardless of whether full or partial deployment of the COOP is declared, each Division Commander or designee is responsible for addressing the following topics within the first 12 hours of implementation:

**-Each office will be responsible for contacting the manager of their pre-determined alternate facility.**

- That conversation should inform the facility manager of COOP implementation and the need of that facility. It should also ensure utilities are still intact (phones, electricity, water/sewer, and heat), identify any other potential problems and, if known, advise them of the specific time when the facility will be needed.

**- Ordering additional supplies and/or equipment, as needed.**

- ○ Each division should already have a list of supplies and/or equipment to facilitate the transition to another facility and to conduct operations at that facility.
- ○ It is the responsibility of the Division Commander to delegate the acquisition of the needed supplies prior to completing the transition to the alternate facility.

**- Each office/division will be responsible for activating additional personnel, as needed.**

◆ SCSO Policy 3.25/040 states that off-duty personnel “shall, upon official notice, report for duty immediately upon receipt of notification and comply with instructions given at the time of notification. Members shall report immediately in the event of any major disaster.”

○ Field Services/ Support

Services◆ To sustain essential-functions in the field services and support services division(s), the assistance of off-duty personnel may be required.

- The Sheriff, Chief Deputy, Division Commander(s), or senior Sergeant(s) can order off-duty personnel to respond.
  - ○ All Off-duty personnel are subject to activation by the Sheriff, Chief Deputy, Division Commander(s), Sergeant(s), and or designee
  - ○ Dispatch is responsible for contacting off-duty personnel by telephone or pager.
- If additional personnel are still required, reserve deputies can be notified upon the order of the Sheriff, Chief Deputy, Support Services Commander or designee. Dispatch is responsible for contacting off-duty personnel
- by telephone or pager.

○

Communications◆ In the event that additional personnel are needed or if staff is unable to respond, the Communications Commander, Communications Operations Manager, or Communications Supervisor can implement 12 hour shifts.

If additional personnel are still needed, the divisions calling tree will be utilized to contact the next shift and inform them to report early.

All off-duty personnel are subject to being called-in by order of the Sheriff, Chief Deputy, Communications Commander, or designee.

○

Jail ◈ In the event that additional personnel are needed for the Jail Division, the Master Control Officer will be responsible for initiating the Jail Alert/Recall Roster (Annex F) upon the request of the Sheriff, Chief Deputy, Jail Administrator, on-duty Supervisor or designee.

○ Clerk of

Courts ◈ In the event that additional personnel are needed for the Clerk of Courts Office the Clerk, or designee, can authorize callbacks utilizing a pre-established phone tree.

○ County Attorney's

Office ◈ Plan for notifying additional personnel is not currently not available

- ○ Courthouse Workgroup (Judges and staff)

◈ Plan for notifying additional personnel is not currently not available

**-Each office/division will be responsible for identifying the necessary documents and equipment to continue performance of essential-functions at the alternate facility and delegating responsibility for its transport.**

- Reference Vital Files, Records, and Databases (Table 3) and Mission-Critical Systems (Table 4).

**-To the extent possible, each office/division will be responsible for making arrangements to secure the facility or any unmovable equipment and/or records to sustain operations.**

- Jail Division can sustain vital operations within the jail by conducting a facility lockdown.

- The decision to lockdown may be precluded by the local health boards order to quarantine [IA Ad Code 641.1.9(6)a(1)].
- In the event of a facility lockdown, no one (staff or inmates) will be allowed to enter or exit the facility except by order of the Sheriff, Jail Administrator, or incident commander, or until the order to quarantine has been lifted

**a) Obtain court order releasing certain inmates**

Depending on the nature of the emergency and the anticipated housing and security capabilities of the alternate jail facility, the Incident Commander, Sheriff, Chief Deputy, Jail Administrator or successor may obtain a court order allowing for the release of certain inmates. A Memorandum of Understanding (MOU) between the Sheriff and Court is located in Annex (G) has been created to explain the need for an emergency court ordered release of inmates. Signatures from the Sheriff and the Senior Resident District Court Judge acknowledge that both the Court and Sheriff have come to an understanding of what will be expected from both groups during an emergency. A draft of the release order which needs to be signed by the Sheriff, Jail Administrator, or successor and the Senior Resident District Court Judge will accompany the MOU. The order will specify who is to be released and what the conditions of the release are. A draft of the court order is also in Annex (G).

Releasing a number of inmates during an emergency can reduce the strain that will be placed on staff during evacuation and relocation. It also has the ability to reduce the cost and complications associated with alternate facility operations. The Jail Administrator or designee is responsible for identifying which inmates should be requested to be released by the Court based on the alternate facility and staffing capabilities. Having a pre-established document asking for court ordered release of certain inmates during an emergency will expedite the evacuation process. It should also lessen tension on the Courts during the emergency as they will be aware of the Sheriff's Offices' intent to ask for the order.

### **b) Transition**

Once the previously stated tasks have been addressed using the division specific Relocation Checklists (Annex B) in conjunction with the Deployment and Relocation (Table 1), Mission-Critical Systems (Table 3), and Vital Records (Table 4) guidelines, all the operations, records, and systems that are to be relocated should be addressed. Each table specifies who is responsible for each task during relocation. The relocation of systems and records will be facilitated by the staff listed in the tables utilizing the Emergency Response Team (ERT) van, Sheriff's Office truck(s), the jail transport van, and/or Sheriff's Office sport utility vehicles (SUV's). The evacuation and relocation of inmates will be conducted as described in the Story County Jail Evacuation policy. Relocation of inmates will be conducted with the help of a school bus from the Nevada School District and the jail transport van. Female inmates will be transported separately from male inmates.

## **PHASE II-Alternate Facility Operations (12 hours to termination)**

### **c) Alternative Facilities**

As previously stated, the relocation sites must be capable of supporting operations within the first 12 hours of implementation and capable of sustaining operations for up to 30 days. Once at the alternate facilities, the performance of essential-functions must commence as soon as possible. To ensure fast resumption of essential-functions, access to vital records and mission-critical systems must be established. The Story County Information Technology Department will be utilized to ensure the systems are operational. If possible, technicians will link computers to the Internet and T1 and/or fiber optics lines connected to the servers housed at the Story County Administration Building.

The Story County Sheriff's Office essential-functions fall under five headings which are prioritized as follows: (1) Law Enforcement/Public Safety, (2) Jail Operations, (3) Civil and Court Process, (4) Court Security, and (5) Issuance of Permits. The essential-functions have been prioritized in this order because the preservation of life supersedes all other functions during an emergency. The next most important function is to maintain public safety by ensuring the most dangerous offenders remain in custody and that the well-being of those in custody is taken care of. The Civil and Court Process and Court Security have relatively equal importance during emergency operations, therefore the distinction in ordering was based on the fact that the Civil and Court Process are a full-time, seven day-a-week function whereas, Court

Security is only a one day-a-week function. The Issuance of Permits is the lowest prioritized legally mandated essential-function. It will be performed as needed once the other essential-functions have been reinstated and are functional.

**d) Essential-Functions Operations at Alternative Facilities**

The essential-functions, operational strategies, and tactical plans have been established and prioritized based on both legal responsibilities of the Office of Sheriff as identified in Iowa Code 331.653, and the policies and procedures of the Story County Sheriff’s Office. It must be recognized that the order in which the operational strategies and tactical plans are prioritized in each of the tables can changed based on the dynamics of the emergency.

**i. Essential-Functions Operational Tables**

**Table 7a. Law Enforcement/Public Safety Essential-Functions**

<b>Essential Function</b>	<b>Operational Strategies</b>
<i>Law Enforcement/ Public Safety</i>	Dispatching calls for service
	Responding to calls for service
	Enforce public health mandated quarantines
	Public safety
	Criminal investigations
	Mental health committals

<b>Operational Strategies</b>	<b>Tactical Plans</b>
<b><i>Dispatching calls for service</i></b>	<ul style="list-style-type: none"> <li>• Answer emergency phone calls/ radio traffic</li> <li>• Dispatch first responders (medical, fire, and/or law enforcement)</li> <li>• Activate tornado sirens</li> <li>• Answer non-emergency phone calls/ radio traffic</li> <li>• Enter and verify warrants</li> </ul>
<b><i>Responding to calls for service</i></b>	<ul style="list-style-type: none"> <li>• Respond to emergency calls from dispatch</li> <li>• Respond to non-emergency calls</li> <li>• Identify if call is criminal or civil</li> </ul>
<b><i>Enforce public health mandated quarantines (IA Ad Code 641.1.9 (6)a(1) and IA Code 135.35)</i></b>	<ul style="list-style-type: none"> <li>• Enforce and execute a lawful department order for isolation or quarantine within each agencies respective jurisdiction</li> <li>• Follow public health officials recommendations to minimize the risk of exposure</li> <li>• Utilize personal protective equipment</li> </ul>
<b><i>Public safety</i></b>	<ul style="list-style-type: none"> <li>• Assist in non-law enforcement mandated practices</li> <li>• Clear debris from roadways</li> <li>• Council citizens</li> </ul>
<b><i>Criminal investigations</i></b>	<ul style="list-style-type: none"> <li>• Initial officer on-scene evaluates the incident</li> <li>• If needed, advises dispatch to page the on-call detective</li> <li>• Detective responds and assists the initial officer in investigating the incident</li> <li>• Collect physical evidence</li> <li>• Takes photographs and statements</li> </ul>
<b><i>Mental health committals (IA Code 229.22)</i></b>	<ul style="list-style-type: none"> <li>• Assess the situation and the subject in question</li> <li>• Determine if: 1) mentally ill and is likely to 2) physically injure self or others</li> <li>• Facilitate transport to nearest facility</li> <li>• Describe circumstances to examining</li> </ul>

Table 7b. Jail Operations Essential-Functions

Table 7c. Court Security Essential-Functions Spreadsheet

<b>Essential Function</b>	<b>Operational Strategies</b>
<i>Jail Operations</i>	Security/public safety
	Intakes
	Releases
	Court
	Medical service
	Food service
	Housing

<b>Operational Strategies</b>	<b>Tactical Plans</b>
<i>Security/public safety</i>	<ul style="list-style-type: none"> <li>• Prevent unlawful enter and exit from facility</li> <li>• Ensure the well-being of inmates and staff</li> </ul>
<i>Intakes/Booking</i>	<ul style="list-style-type: none"> <li>• Document individuals entering facility</li> <li>• Ensure hygiene (delousing, Tuberculosis [TB] screening)</li> <li>• Fingerprint</li> <li>• Ensure a criminal charge is associated with each intake</li> </ul>
<i>Release</i>	<ul style="list-style-type: none"> <li>• Document release</li> <li>• Return property</li> <li>• Collect payment</li> </ul>
<i>Court</i>	<ul style="list-style-type: none"> <li>• Ensure inmates are at scheduled court appearances</li> <li>• Access to legal council</li> </ul>
<i>Medical service</i>	<ul style="list-style-type: none"> <li>• Ensure adequate medical service is available</li> <li>• Quarantine individuals infected by influenza</li> </ul>
<i>Food service</i>	<ul style="list-style-type: none"> <li>• Arrange delivery of provisions from vender</li> <li>• Ensure adequate dietary needs are being met</li> </ul>
<i>Housing (Ia Ad. Code)</i>	<ul style="list-style-type: none"> <li>• Segregation of males and</li> </ul>

<b>Essential Function</b>	<b>Operational Strategies</b>
<b><i>Court Security</i></b>	Prisoner isolation/distancing
	Prisoner Housing
	Prisoner Transportation
	Staffing and posting of Court Security Officers
	Protection of Court Security Officers
	Mandatory sanitary procedures and securing proper sanitation and cleaning supplies
	Support staff required to perform basic tasks such as preparing the list of prisoners needed in court and required documents
	Building/Perimeter Searches
	Response to Personal Alarms (ALERT/Phone Alarm)
	Special Security for High Risk/Profile Court Hearings and Cases

<b>Operational Strategies</b>	<b>Tactical Plans</b>
<b><i>Prisoner isolation/distancing</i></b>	<ul style="list-style-type: none"> <li>• Utilize video court system</li> <li>• Inmates remain in holding area until called for court</li> </ul>
<b><i>Prisoner housing at court facility</i></b>	<ul style="list-style-type: none"> <li>• Court facility is attached to jail by non-public hallway. Inmates can be taken to court without being placed in court holding cell</li> <li>• Jail booking area has video court capability with court in Ames to limit need for transportation or exposure of judge and attorneys</li> <li>• Jail booking area has several holding cells with ability to separate inmates as needed</li> <li>• Jail housing has two medical isolation cells</li> </ul>
<b><i>Prisoner transportation</i></b>	<ul style="list-style-type: none"> <li>• Jail Court/Transport Deputy holds primary duty, court security officer provides support in absence of jail staff support</li> <li>• As required, patrol deputies and reserve deputies also perform prisoner transport duties</li> <li>• If required, reserve deputies can perform prisoner transport with cross-training</li> <li>• Inmates are staged in jail booking/housing areas by charge and transported according to threat/capacity</li> </ul>
<b><i>Staffing and posting of court security Officers</i></b>	<ul style="list-style-type: none"> <li>• Jail transport deputy and armed staff handle court detail</li> <li>• Court security provided on Monday only</li> <li>• Court security detail can be alternately assigned to patrol deputies or absorbed with jail functions depending on staffing</li> </ul>
<b><i>Protection of court security officers</i></b>	<ul style="list-style-type: none"> <li>• Personal protection equipment staged in jail division (gloves, face shields, sanitizing liquid)</li> <li>• Limited public contact is possible by limiting hallway monitoring</li> </ul>

<p><b><i>Building/perimeter searches</i></b></p>	<ul style="list-style-type: none"> <li>• The sheriff's office is located within the justice center and includes courthouse. A shared responsibility between jail and patrol deputies could include building/perimeter searches prior to/after court day.</li> </ul>
<p><b><i>Response to ALERT/phone alarms</i></b></p>	<ul style="list-style-type: none"> <li>• Cross-training of jail and deputies stationed at the sheriff's office includes response to court alarms and ALERT personal alarms</li> </ul>
<p><b><i>Special security for high risk/profile court hearings and cases</i></b></p>	<ul style="list-style-type: none"> <li>• Special security is an as-needed function.</li> <li>• Armed deputies in the jail, patrol, support areas, and reserves can be used to provide security with notice from court personnel.</li> </ul>
<p><b><i>Response to building emergencies including fire, explosive devices, natural disasters</i></b></p>	<ul style="list-style-type: none"> <li>• Armed deputies in the jail, patrol, support areas, and reserves can be used to respond to emergencies</li> <li>• Activation of special units including reserve deputy unit may be required</li> <li>• Cross-training with Nevada Police</li> </ul>

**Table 7d.Civil and Court Process (In progress)**

<b>Essential Function</b>	<b>Operational Strategies</b>
<i>Civil and</i>	•

<b>Operational Strategies</b>	<b>Tactical Plans</b>
	•

**Table 7e. Issuance of Permits Essential-Functions Spreadsheet**

<b>Essential Function</b>	<b>Operational Strategies</b>
<i>Issuance of</i>	• Weapons permits

<b>Operational Strategies</b>	<b>Tactical Plans</b>
<i>Weapons permits</i>	<ul style="list-style-type: none"> <li>• Collect personal information</li> <li>• Check for a current Story County address</li> <li>• Check for current No Contact Orders</li> <li>• Individual must sign a sworn statement</li> <li>• Check NCIC and Iowa System</li> <li>• Collect payment</li> </ul>

## **ii. Elements that Affect Essential-Functions**

The COOP must address staff work schedules and compensation, hours of work, time-off, additional staff support, logistical support, discipline and liability, and education and training as these issues have a significant impact on the Sheriff's Office's ability to perform essential-functions during an emergency.

It must be clearly stated that in reference to work schedules, compensation, and hours of work that in the event of a large-scale, long-term emergency extended work hours and increased levels of staff may become necessary to sustain the essential-functions of the office. Chapter 331.437 of the Iowa Code clearly states, "It is unlawful for a county official, the expenditures of whose office come under this part, to authorize the expenditure of a sum for the official's department larger than the amount which has been appropriated for that department by the board." Therefore, in the event that the emergency causes the Sheriff's Office to expend its budget, efforts will be made by the Sheriff, the Auditor's Office, and the Board of Supervisors to amend the budget and reallocate funds; but, depending on the scope and nature of the emergency, the county may not have adequate funds to maintain essential county functions as well as compensate Sheriff's Office staff for overtime as it is accrued. With that being stated, employees must understand that they will continue to be compensated as if they were working their regular shift and hours because those funds already exist within the budget, BUT compensation for overtime MAY be delayed until after reconstitution as additional funds could end up coming from federal emergency money made available after the emergency.

While maintaining operations during COOP implementation, staff will work their assigned hours unless:

(1) extended shift hours have been implemented (i.e. 12 hours shifts), or staff is ordered to remain on-duty by their supervisor until relief is available. According to the contract between the Sheriff's Office and the Public Professional and Maintenance Employees Local 2003, Deputies, Detention Officers, and Telecommunicator's "normal workday" is 8 hours and they will be paid in either cash or compensatory time at a rate of time and one-half equal to any hours in excess of the "normal workday". The contract also stipulates that Cooks and Clerks will be paid in either cash or compensatory time at a rate of time and one-half for all hours in excess of 40 in a work week. It is the responsibility of each employee to maintain an accurate record of hours worked including overtime hours.

Time-off may be granted to staff by their immediate supervisor. Adequate staffing will be a priority but supervisors will have the authority to approve time-off on a case-by-case basis.

After implementation of the COOP, disciplinary expectations and procedures will remain as they were prior to the emergency. The County's policies of discipline are as follows: Discipline policy #204 states "To achieve effective direction, coordination, and control, supervisory personnel shall be accountable for the performance of employees under their immediate control. Sheriff's office employees shall be required to obey any lawful order of a supervisor, including any order relayed from a supervisor by an employee of the same or lesser rank. An employee who willfully disobeys or disregards the direct order, verbal or written, of a supervisor will be considered to be insubordinate." Insubordination is the failure or deliberated refusal of any member or employee to obey a lawful order given by a superior officer (SCSO Policy 2.10/012). SCSO Policy 3.10/004 states, "According to the nature of the offense and in

conformance with the rules of this office, disciplinary action may consist of: a reprimand, either oral or written; suspension without pay; reduction of rank; and/or dismissal from this office.”

The liability issues associated with asking successors to assume command in the event of an emergency have been evaluated. The Sheriff’s Office recognizes that in order to ask staff to perform a task as great as commanding a division or even the entire Sheriff’s Office in the event of sudden and unexpected succession, that staff must be made aware of the order of succession and trained to act accordingly. This is the reason that the order and conditions of succession were described in such detail, and why the issue of staff training has been addressed multiple times.

Logistical support for maintaining Sheriff’s Office essential-functions includes the utilization of existing contracts with service providers. For example, the Sheriff’s Office has a service agreement with Electronic Engineering for the maintenance and continued operational capability of communications systems. The Sheriff’s Office has an agreement with the Nevada School District for utilization of one of their buses for transport of inmates from the Story County Jail to an alternate facility. Transportation of supplies, equipment, and vital records will be conducted using Sheriff’s Office vehicles such as the Jail transport van, ERT van, SCSO SUV’s, and SCSO truck(s). The Sheriff’s Office will also utilize at least one rented commercial storage trailer (i.e. U-Haul) for the storage of evidence. The Sheriff’s Office may also seek the logistical assistance of Story County Facilities Management and County Roads personnel and vehicles.

### **PHASE III-Reconstitution (Termination and return to normal operations)**

#### **1) Reconstitution**

Reconstitution is the process of returning to the Justice Center or a long-term temporary facility as a fully functional entity. Some of the basic elements of reconstitution include determining if the Justice Center or long-term temporary facility is suitable for operations, scheduling orderly return, transfer of vital records, transfer of communications, and notification of all employees. A reconstitution plan has been developed in order for operations to return to normal as soon as possible.

Reconstitution must be prioritized to ensure the most volatile essential-functions are reconstituted first. Due to the risk involved with detaining inmates at an alternate facility that was not designed for this function, it is most important to reconstitute the Jail Division first. If the Story County Jail is still not able to be occupied after de-escalation from the emergency, the first option is to contact surrounding area facilities to house inmates until the jail is inhabitable or until a long-term replacement can be fully operational. If surrounding facilities are unable to assist than it must become a priority that a long-term replacement facility is made available.

A long-term jail facility could mean relocating inmates and operations to a more secure alternate facility with the ability to inhabit a larger, more diverse population; or simply modifying the existing alternate facility for those same reasons. After the emergency, jail functions must be able to return to normal as soon as possible regardless of its location.

The Communications Division will need to be reconstituted next as during the emergency they were forced to either share a facility with a surrounding agency, or they worked remotely with limited access to the numerous technologies and resources available at either the Justice Center or their own long-term temporary location. Ensuring that communications is reconstituted and fully functional can aide the remaining divisions as they perform their essential-functions and reconstitute at the same time.

The Support Services Division and Administration will be prioritized next as many of their operations, such as record-keeping and management, can be performed remotely as long as staff has access to communications systems and the necessary computer hardware, software, and networks. Other essential-functions such as serving the civil and court documents can be performed regardless of location because officers have access to Sheriff's Office issued vehicles.

The Field Services Division has the ability to operate remotely since all personnel in that division have vehicles assigned to them; therefore, they will have the lowest priority in the reconstitution phase. As long as officers have access to computer hardware, software, and networks to complete necessary documentation, the location of that facility is irrelevant.

#### **IV. Plan Maintenance 1) Multi-Year Strategy and Program**

**Management Plan (MYSPMP)** It is the short-term objective of the Story County Sheriff's Office to create an operational COOP by February 2008 that is capable of maintaining essential Sheriff's Office operations during a large-scale, long-term emergency. It is the long-term goal of the Sheriff's Office to monitor and continually update the COOP to identify and address deficiencies, as well as evaluate opportunities for plan development and progression. The Story County Sheriff's Office plans to develop and maintain working relationships with state and federal emergency management agencies such as the Iowa Homeland Security and Emergency Management (IHSEM), Iowa Department of Public Health (IDPH), Center for Food Security and Public Health (CFSPH), Department of Homeland Security (DHS), and the Centers for Disease Control and Prevention (CDC). It is also a long-term goal to ensure cohesion of the Sheriff's Office Continuity of Operations Plan with local, state, and federal emergency management plans.

To reach these objectives, the Story County Sheriff's Office plans to dedicate personnel to oversee the continued development of Continuity of Operations planning. The individual or team will track facilities in the community that meet the Sheriff's Office's needs for temporary operation sites, such as vacant buildings with significant infrastructure. The individual or team will act as a liaison between the Sheriff's Office and the Office of Emergency Management to continually assess threats to Sheriff's Office operations and address preparedness considerations.

The Story County Sheriff's Office is also dedicated to training, testing, and conducting exercises that are designed to practice the plan and identify its weaknesses. The trainings will include: individual and team training of agency personnel, internal agency testing and exercising of COOP plans and procedures, testing the alert and notification processes, refresher orientation for COOP personnel, and joint interagency exercising of COOP plans.

An additional priority in the maintenance of the Story County COOP is to monitor the accomplishments of the plan. To achieve this, records will be kept of plan revisions and amendments as well as detailed accounts of training sessions. Records pertaining to attendance, topics, and practical application will be maintained to ensure the appropriate personnel have received adequate training. All Sheriff's Office staff will have access to an electronic copy of the COOP located in the network G drive. An evaluation sheet will accompany the plan on the G drive and staff will be asked to periodically evaluate it to provide suggestions for plan improvement.

## 2) Planning Responsibilities

COOP planning responsibilities are vital in implementing, practicing, and updating the information within this document. This section specifies the responsibilities of each staff position involved in the planning and upkeep of the COOP.

**Table 8. Planning Responsibilities**

<b>Responsibility</b>	<b>Position</b>
Maintaining and updating employee contact database	Support Services Supervisor-G Drive
COOP plan testing	Support Services Division-Training Coordinator or designee
COOP plan update	Support Services Division-Training Coordinator or

## 3) Acknowledgements

The Story County Sheriff’s Office Continuity of Operations Plan development committee consisted of Sheriff Paul H. Fitzgerald, Chief Deputy Barry Thomas, Jail Commander Julius Hopkins, Communications Commander Dina McKenna, Field Services Commander Dru Toresdahl, Support Services Commander Dave Lekwa, and the plan was chaired and authored by Deputy Gary Backous, MS. A special thanks to Story County Sheriff’s Office supervisory staff, Lori Morrissey of the Story County Office of Emergency Management, Lisa Markley of the Story County Auditor’s Office, Sandra Hunter and Matt Riese from the Information and Technology Department, Clerk of Court Diane Tott, and County Attorney Stephen Holmes for their help in developing this plan. We would also like to thank Naomi Backous and Danelle Bickett-Weddle, DVM, MPH, DACVPM of Iowa State University’s Center for Food Security and Public Health for their time and resources. Most importantly, the Story County Sheriff’s Office would like to thank John Matthews, Executive Director of the Community Safety Institute, for his assistance in overseeing the development of this plan.

## **V. Annexes**

### **Annex A: Authorities and References**

-SCSO Policy 3.01-006-Rank Structure -SCSO Policy 2.10/012-  
Insubordination -SCSO Policy 3.10/004-Obedience to Law, Regulations,  
and Orders -SCSO Policy 204-Direction Policy -SCSO Policy 321-  
Essential-functions -SCSO Policy 322-Unity of Command -SCSO Policy  
704-NIMS -SCSO Jail Evacuation Plan -IA Code 602.1215 -IA Code  
356.47 -IA Code 331.653 -IA Code 331.651 -IA Code 331.347 -IA Code  
229.22 -IA Code 66.19 -IA Administrative Code 641.1.9(6) a (1) -IA  
Administrative Code 201-50.13(1) -Public Professional and Maintenance  
Employees Local 2003 Contract

**Annex B: Operational Checklists:**

-This section contains checklists for use during COOP operations. Each checklist is a simple tool that ensures all required tasks are accomplished. The checklists identify the steps required for implementation and relocation. Additional checklists will be created to topics such as alternate facility operations and reconstitution.

**Support Services Division Relocation Checklist**

<b>Complete</b>	<b>Task</b>
	<b>Notify Sheriff, Chief Deputy, and Support Services Commander or successor</b>
	<b>Contact alternate facility(s)</b>
	<b>Secure immovable equipment</b>
	<b>Notify Off-duty personnel-as needed</b>
	<b>Notify Reserve Deputies-as needed</b>
	<b>Collect and transport vital records and equipment</b>
	*Civil papers
	*Criminal case files
	*Weapons permit paperwork
	*Financial records
	*SCSO Policy manual
	*SCSO COOP
	*Weapons from the armory
	*Ammunition
	**Utilize ERT Van, SCSO SUV's, and CIDTF Ford Truck
	<b>Transfer communications</b>
	*Notify Communications Commander or designee to have phones transferred
	<b>Implement necessary security measures</b>
	<b>Brief staff on operational changes</b>

**Jail Division Relocation Checklist**

**Field Services Division Relocation Checklist**

## **Administrator's Implementation and Relocation Checklist**

Complete	Task
	<b>Notify Sheriff, Chief Deputy, and Jail Administrator or successor</b>
	<b>Contact alternate facility(s)</b>
	<b>Secure immovable equipment</b>
	<b>Obtain Court Order to release certain inmates</b>
	*Release specified inmates
	<b>Activate evacuation policy</b>
	*Ensure perimeter is secure
	*Shut down telephones televisions
	*Population lockdown and headcount
	*Activate off-duty personnel
	*Attain inmate transportation -School bus
	*Secure and stage inmates for transport
	*Load inmates into transport vehicle-Bus
	<b>Collect and transport vital records and equipment</b>
	*Intake release calendar
	*Intake and release file
	*Jail radio
	*Green book
	*Inmate photo logs
	*Keep-away list
	*Monitor and camera system for video court
	*HPL Medical binder
	*Roster
	<b>Transfer and establish communications</b>
	*Notify Comms. Commander or designee to have phones set-up and transferred
	<b>Transfer and set-up food service operations</b>
	*Special diets list
	*Pre-established food rations (3 days of meals)
	<b>Transfer medical services</b>
	*Medications
	<b>Ensure security of alternate jail before inmates arrive</b>
	<b>Implement necessary security measures</b>
	*Barbed-wire
	*Locked doors and windows
	<b>Establish housing arrangements</b>

Complete	Task
	<b>Notify Sheriff, Chief Deputy, and Field Services Commander or successor</b>
	<b>Contact alternate facility(s)</b>
	<b>Secure immovable equipment</b>
	<b>Notify Off-duty personnel- as needed</b>
	<b>Notify Reserve Deputies- as needed</b>
	<b>Collect and transport vital records and equipment</b>
	*Evidence log
	*Utilize ERT Van, SCSO SUV's, and CIDTF Ford Truck
	<b>Procure a lockable U-Haul trailer</b>
	*Load evidence into U-Haul
	<b>Transfer communications</b>
	*Notify Communications Commander or designee to have phones transferred
	<b>Implement necessary security measures</b>
	<b>Brief staff on operational changes</b>
	* Advise staff of potential security threats
	* Advise staff of changes in work hours and staffing procedures

Complete	Task
	<b>Assess emergency situation</b>
	<b>Hold Justice Center Emergency Assessment meeting</b>
	<b>Implement COOP</b>
	<b>Decide on full or partial deployment and relocation</b>
	*Full- ensure each division performs all tasks for relocation
	*Partial- identify which divisions need to be relocated
	*Partial- delegate someone to continue to monitor the progression of the emergency
	<b>PIO brief press and/or state or federal PIO's for dissemination of information</b>
	<b>Collect and transport vital records</b>
	*Personnel files
	<b>Implement necessary security measures</b>
	<b>Brief command staff on operational changes</b>
	*Advise commanders of potential security threats
	*Advise commanders of changes in work hours and staffing procedures

**Annex C: Alternate Location/Facility Information**

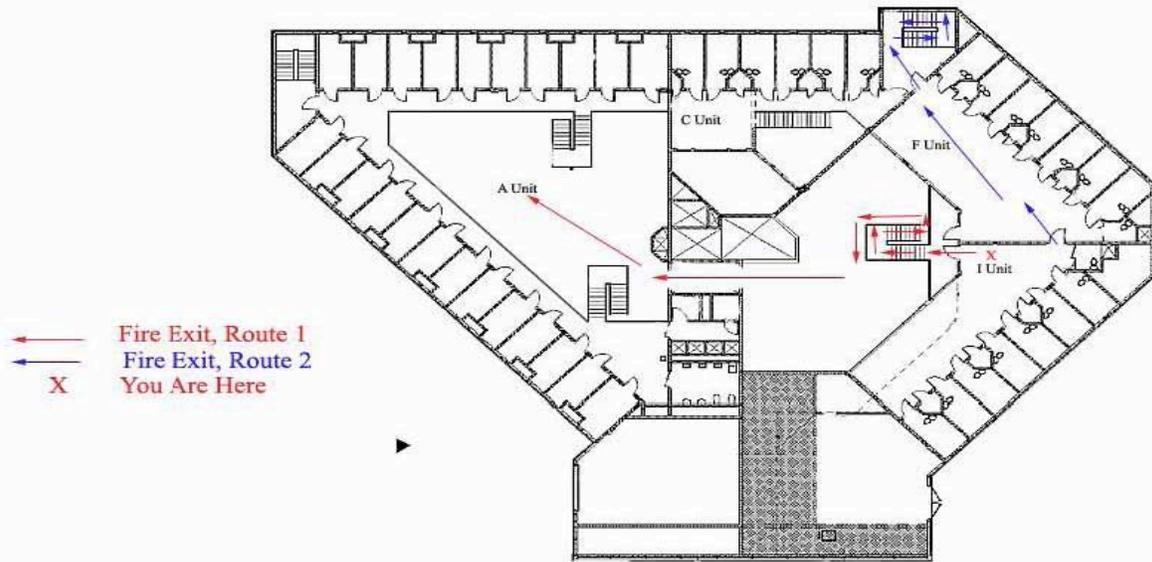
<b>Alternate Location</b>	<b>Contact information</b>	<b>Available Recourses</b>
<b>Ames City Hall</b> 515 Clark Ames, IA 50010	Ames Mayor (515) xxx-xxxx	Access to network servers
<b>Ames Clerk of Court Office</b> 515 Clark, Ames, IA50010	Ames City Manager (515) xxx- xxxx	Access to network servers
<b>Ames Police Department Dispatch Center-</b> 515 Clark Ames, IA 50010	Ames Police Chief (515) xxx-xxxx	Access to network servers
<b>Cambridge Fire Department</b> 220 River St Cambridge, IA 50046		
<b>Collins Fire Department</b> 105 Main St Collins, IA 50055		
<b>Colo Fire Department</b> 302 Bailey St Colo, IA 50056		
<b>Community Life Programs Center</b> 104 S. Hazel Ames, IA 50010		Access to network servers
<b>Conservation Center-McFarland Park</b> 56461 180 <sup>th</sup> St Ames, IA 50010		Access to network servers
<b>County Attorney's Satellite Office</b> 126 S. Kellogg, Ames	County Attorney	
<b>Drug Task-Force Office</b> 428 5 <sup>th</sup> St Ames, IA 50010	Drug Task- Force Coordinator	
<b>Electronic Engineering</b> 2220 E. Lincoln Way Ames, IA 50010		
<b>Emergency Response Vehicle</b> Harrington Motors 59 Main St Maxwell,	Sheriff/On- duty	

**Annex D: Maps and Evacuation Routes** -Evacuation routes and additional maps will be

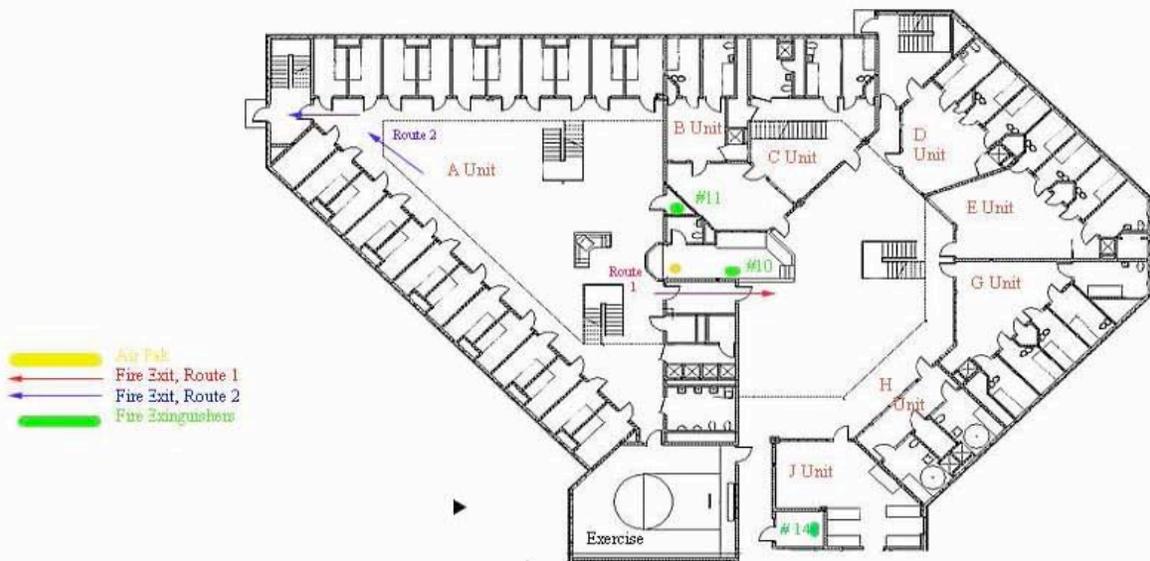
<p><b>McCallsburg Fire Department 525</b> Main St McCallsburg, IA 50154</p>	<p>addresses become available.</p>	
<p><b>Nevada Fire Department 935</b> Lincoln Way Nevada, IA 50201</p>		
<p><b>Oak Park Academy-(Nevada)</b></p>		
<p><b>Polk County Jail</b> 110 6th Ave. Des Moines, IA 50309</p>	<p>Polk County Sheriff</p>	
<p><b>Roland Fire Department 200 E.</b> Ash St Roland, IA 50236</p>		
<p><b>Secondary Roads Building 837 N Ave</b> Nevada, IA</p>	<p>Mayor of Nevada</p>	<p>Access to network servers</p>
<p><b>Slater Fire Department 305</b> Main St Slater, IA 50244</p>		
<p><b>Story City Fire Department 512</b> Park Ave. Story City, IA 50248</p>		

## Annex D: Maps and Evacuation Routes

- Evacuation routes and additional maps will be added as they become available.



Story County Justice Center, Jail  
Second Floor - I Unit



Story County Justice Center, Jail  
First Floor - A Pod

**Annex E: Definitions and Acronyms** -**CA**-County Attorney -**CIDTF**-Central Iowa Drug Task-Force -**CLP**-Community Life Program -**Cmdr**-Commander -**COOP**-Continuity of Operations Plan -**Dept.**-Department -**DSM**-Des Moines, IA -**EOC**-Emergency Operations Center -**IA Code**-Iowa Code -**IC**-Incident Commander -**ICS**-Incident Command Structure -**Iowa Ad. Code**-Iowa Administrative Code -**IRVM**-Integrated Roadside Vegetation Management -**MOU**-Memorandum of Understanding -**N/A**-Not available/applicable -**NCIC**-National Crime Information Center -**NIMS**-National Incident Management System -**PIO**-Public Information Officer -**SC**-Story County -**SCSO**-Story County Sheriff's Office -**Sgt.**-Sergeant -**TB**-Tuberculosis -**Temp**-Temporary -**UHF**-Ultra high frequency -**Union contract**-Public Professional and Maintenance Employees Local 2003 Contract -**VHF**-Very high frequency

**Annex F: Telephone/Fax Directory**

**STORY COUNTY TELEPHONE DIRECTORY**

NOTE: CLP (Community Life Program) IRVM (Integrated  
Roadside Vegetation Management)

**ALPHABETICAL TELEPHONE LIST Name Department Internal**

**Ext. External Number**

## **FAX NUMBERS**

Assessor Attorney Attorney (Ames)  
Auditor Board of Supervisors CLP  
Community Services Conservation-  
McFarland Park Conservation-  
Hickory Grove Park Department of  
Human Services District Court  
Emergency Management Engineer  
Facilities Management Information  
Services IRVM Juvenile Court  
Services Mid-Iowa Community  
Action Planning & Zoning Sheriff  
Sheriff -Booking Treasurer WIC

## DEPARTMENTAL LIST

AMES CITY ASSESSOR 239-5370

ANIMAL CONTROL 382-3338 906 West 18th Street,  
Nevada

ASSESSOR'S OFFICE 382-7320

ATTORNEY'S OFFICE 1315 South B Avenue 382-  
7255

AUDITOR'S OFFICE 382-7210 Elections 382-7217  
Finance 382-7212 Real Estate 382-7214 Voter  
Registration 382-7220

CLERK OF COURT 382-7410 Bookkeeping 382-7417  
Civil 382-7415 Criminal 382-7419 Dissolution/Child  
Support 382-7414 Jury 382-7418 Probate 382-7420  
Small Claims 239-5304 Ames Office, 515 Clark 239-  
5140

COMMUNITY LIFE PROGRAM 956-2600

Administration Building,  
104 S. Hazel, Ames  
3911 Calhoun 233-1323  
620 Duluth 233-1732  
124 Hazel 233-1320

COMMUNITY SERVICES 382-7280

126 South Kellogg, Suite 201, Ames  
Veterans Affairs 382-7292

CONSERVATION 56461-180th St., Ames 232-2516

McFarland Park Shop 232-6809  
Hickory Grove Park Shop 377-2833

## DEPARTMENTAL LIST

DEPARTMENT OF HUMAN SERVICES  
126 South Kellogg, Suite 101

DISTRICT ASSOCIATE COURT  
Judge Reporter Attendant

DISTRICT COURT  
Presiding Judge Reporter  
Judicial Assistant  
Resident Judge Reporter

EMERGENCY MANAGEMENT

ENGINEER'S OFFICE 837 N  
Avenue, Nevada Shop/Yard

FACILITIES MANAGEMENT Boiler  
Room (Extension 3102)

RADIOS

HEALTH DEPARTMENT  
Sanitarian Environmental  
Specialist Homeward

## DEPARTMENTAL LIST

Code Enforcement Officer

### INFORMATION TECHNOLOGY

JUVENILE COURT SERVICES 126  
South Kellogg, Suite 202

MID-IOWA COMMUNITY ACTION  
126 South Kellogg, Suite 1

PLANNING AND ZONING Building  
Permit/Code Enforcement Property  
Information GIS/E911 Addressing

PUBLIC DEFENDER 1229  
South G Avenue

### RECORDER'S OFFICE

SECONDARY ROADS 837 N  
Avenue, Nevada

SHERIFF'S OFFICE 1315  
South B Avenue Dispatch Jail

### SUPERVISOR'S OFFICE

TREASURER'S OFFICE Property  
Taxes/Mobile Home Vehicle  
Registration

**Annex G: Additional Documents**

**Memorandum of Understanding**

Story County District and Associated District Court and Story County Sheriff have come to the understanding that:

In the event of a large-scale, long-term emergency the Story County Jail may have to be relocated to an alternate facility. The alternate facility does not have the capacity or functioning capabilities of the current jail and there are no other inmate housing facilities that are able to take additional inmates. Based on these circumstances it has been agreed that:

- **All non-sentenced inmates facing SERIOUS MISDEMEANOR charges OR LESS shall be released on their own recognizance.**
- **All non-sentenced inmates with BONDS LESS THAN \$3500 shall be released on their own recognizance.**
- **The sentences of all inmates SERVING A TERM OF INCARCERTION OF 30 DAYS OR LESS shall have the remainder of their sentence suspended.**
- **All upcoming court appearances shall be suspended until further notice.**
- **All initial appearances will be held at the alternate location or by video court until further notice.**

\*Inmates released on their own recognizance will be given notice on the release order of when their next court appearance will be.

The release order authorizes the Sheriff to release specific inmates and order non-sentenced inmates to return before the court. The order will be created in triplicate allowing the Court, the Sheriff, and inmate to each retain a copy. The order will accompany this memorandum in the event that the Sheriff deems it necessary to order the emergency relocation of the Story County Jail.

Senior District Court Judge      Story County Sheriff

(Signature/Date) (Signature/Date)

(Print) (Print)

IN THE DISTRICT COURT OF IOWA, IN AND FOR STORY COUNTY  
找濟□攀吻.....

**ORDER OF RELEASE FROM INCARCERATION**

To the Honorable \_\_\_\_\_:

On the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, in accordance with the signed Memorandum of Understanding concerning the release of inmates under emergency conditions, I, JB Hopkins, Story County Jail Administrator, request a court ordered release of:

**-ALL NON-SENTENCED INMATES FACING SERIOUS MISDEMEANOR CHARGES OR LESS**

**-ALL NON-SENTENCED INMATES WITH A BOND LESS THAN \$3500**

**-ALL SENTENCED INMATES SERVING A TERM OF INCARCERTION OF 30 DAYS OR LESS**

All non-sentenced inmates shall be released on their own recognizance and are to return before the court within \_\_\_\_ days or a warrant will be issued for arrest. All sentenced inmates shall have the remainder of their sentence suspended per Iowa Code 356.47.

Sheriff Paul H. Fitzgerald

By \_\_\_\_\_  
Jail Administrator or designee, Story County Jail

Approved on this \_\_\_\_\_ of \_\_\_\_\_, 20\_\_\_\_

Senior District Court Judge

(Signature/Date) (Print)