



The Commonwealth of Massachusetts  
Executive Office of Public Safety and Security

One Ashburton Place, Room 2133

Boston, Massachusetts 02108

Tel: (617) 727-7775

TTY Tel: (617) 727-6618

Fax: (617) 727-4764

[www.mass.gov/eopss](http://www.mass.gov/eopss)

MAURA T. HEALEY  
Governor

TERRENCE M. REIDY  
Secretary

KIMBERLEY DRISCOLL  
Lieutenant Governor

November 28, 2023

**Document Release: PSAP COOP Template and Facilitator Guide**

The Office of the Statewide Interoperability Coordinator is pleased to announce the release the attached Massachusetts PSAP COOP planning template and facilitator guide as an available tool for agencies to assist with their continuity of operations planning efforts.

This Massachusetts centric document was drafted in partnership between the SWIC's office and the Cybersecurity Infrastructure Security Agency (CISA) Technical Assistance Program, with stakeholder input from a diverse working group of Massachusetts PSAP leaders. Without their work, this document would not have been possible.

Specific agency customization of the document is strongly encouraged. Using the facilitator guide to assist your team, with good agency input and participation, this template will greatly assist you with development these important plans.

Any questions regarding the document, or for further guidance, contact the SWIC at [MA.SWIC@Mass.Gov](mailto:MA.SWIC@Mass.Gov).

Sincerely,

A handwritten signature in black ink, appearing to be 'R. Fiske'.

Richard Fiske  
Statewide Interoperability Coordinator  
Executive Office of Public Safety & Security

Ref./Credit:

CISA; Mass. SWIC; Mass. State 911 Special Programs; Mass. State 911 PSAP Operations; Mass. State Police Communications; Barnstable CO Sheriff Communications; Nashoba Valley Regional Emergency Communications; Springfield Emergency Communications; Wilbraham Regional Emergency Communications.

REV.1: 11/2023



P S A P  
PUBLIC SAFETY  
ANSWERING POINT

# Massachusetts Continuity of Operations (COOP)

FACILITATOR GUIDE | 23



# TABLE OF CONTENTS

---

<b>1.</b>	<b>Foreward</b>	<b>2</b>
<b>2.</b>	<b>Statement of Confidentiality</b>	<b>3</b>
<b>3.</b>	<b>Record of Changes</b>	<b>4</b>
<b>4.</b>	<b>Record of Distribution</b>	<b>5</b>
<b>5.</b>	<b>Introduction and Purpose</b>	<b>6</b>
	5.1. Background	
	5.2. Purpose and Objectives	
	5.3. Applicability and Scope	
	5.4. Supersedes	
	5.5. Authorities and References	
	5.6. Other Associated and Dependent Plans	
<b>6.</b>	<b>Planning Scenarios and Assumptions</b>	<b>11</b>
	6.1. Threat and Hazard Identification and Risk Assessment (THIRA)	
	6.2. Planning Scenarios	
	6.3. Assumptions	
<b>7.</b>	<b>Concept of Operations (CONOPS)</b>	<b>14</b>
	7.1. Leadership Command and Control	
	7.1.1. Delegations of Authority	
	7.1.2. Orders of Succession	
	7.1.3. Critical Information Requirements	
	7.1.4. Devolution	
	7.2. Personnel	
	7.2.1. Key Personnel, Individual Roles, and Team Assignments	
	7.2.2. Roles and Responsibilities	
	7.2.3. Staff Augmentation and Mutual Aid	
	7.2.4. Transportation, Food, and Lodging	
	7.2.5. Mental Health and Employee Support	
	7.3. Alternate Work Site (AWS) Requirements	
	7.3.1. Location	
	7.3.2. Space Configuration	
	7.3.3. Communications and Technology Requirements	
	7.3.4. Site Security and Logistics	
	7.4. Communications	
	7.4.1. Management Communications	
	7.4.2. Employee Communications	
	7.4.3. Vendor Communications	
	7.4.4. Media Communications	
	7.5. Mission Essential Functions (MEF) and Essential Supporting Activities (ESA)	
	7.5.1. Disruption Less than One Day	

7.5.2.	Disruptions Greater than 1 Day and Less than 1 Week	
7.5.3.	Disruptions Greater than 1 Week and Less than 1 Month	
7.5.4.	Assignment of Recovery Time Objectives	
7.6.	Operational Phases and Implementation	
7.6.1.	Preparation	
7.6.1.1	Pre-positioned Resources	
7.6.1.2	Drive-Away Kits	
7.6.1.3	Personal and Family Preparedness	
7.6.1.4	Preventative Maintenance	
7.6.2.	Activation and Relocation	
7.6.2.1	Decision-Making Process and Initial Actions	
7.6.2.2	Classification of Emergencies	
7.6.2.3	Alert, Notifications, and Implementation Process	
7.6.3.	Relocation Process	
7.6.4.	Continuity of Operations	
7.6.4.1	Mission Critical Systems	
7.6.4.2	Vital Records and Databases	
7.6.4.3	Communications and Technology	
7.6.4.4	Security	
7.6.4.5	Financial Management	
7.6.4.6	Continuity of Meetings	
7.6.5.	Reconstitution Processes	
7.6.5.1	Decision-Making	
7.6.5.2	Relocation Return Process	
7.6.5.3	After Action Report (AAR) and Remedial Action Plan	
<b>8.</b>	<b>Plan Management</b>	<b>45</b>
8.1.	Planning Responsibilities	
8.2.	Testing, Training, and Exercises	
8.3.	Multi-Year Strategy	
<b>9.</b>	<b>Appendices</b>	<b>47</b>
9.1.	Electronic Storage of Documents	
9.2.	Contracts and Agreements	
9.3.	Major Projects and Plans	
9.4.	Signed Work Orders and Statements of Work	
9.5.	Procedures and Checklists	
9.6.	Mission Essential Functions (MEF) and Essential Supporting Activities (ESA)	
9.7.	Alternate Work Site Floor Plan	
9.8.	Roster and Contact Information	
9.9.	Key Vendors and Support Resources	
9.10.	Delegations of Authority	
9.11.	Memorandums Of Understanding (MOUs)/Memorandums Of Agreement (MOAs)	
9.12.	ICS 205	
9.13.	ICS 217	

# HOW TO USE THE COOP TEMPLATE

---

## Start Here:

This template provides a starting point to create a Continuity of Operations (COOP) Plan at the department or agency level. The sections in this template are recommended based on a review of plans across the country and is designed to be modified by jurisdictions to meet their unique needs. Every agency has different needs and plans. Customization of this document is **STRONGLY** encouraged. This template is organized to facilitate use of the document during activation. There are nine sections, described in the table below.

Each section contains guidance about the purpose of the section. Many sections also contain a list of questions to answer that facilitate content development. These instructions are identified by **GREEN BOLD TEXT** and are to be removed from the final document. In some cases, example language is provided in **ORANGE ITALICIZED TEXT** to assist authors with drafting content and is to be updated or replaced in the final document. Additionally, brackets are used in the template backbone to indicate that the content needs to be updated by the author (e.g., version number, jurisdiction name). Finally, when the document is complete, the appropriate marking of sensitivity should be added to the footer preceding the version number (e.g., For Internal Use Only, Government Sensitive Information).

<b>Sections 1-6</b>	Focus on plan development and detail assumptions, requirements, descriptions related to the activities directed; these sections provide context for future updates
<b>Section 7</b>	Focuses on operations and is the primary reference during an activation; sub-sections 7.1-7.5 provide information for all phases of activation and sub-section 7.6 (Concept of Operations) describes activation, ongoing operations, and reconstitution
<b>Section 8</b>	Focuses on maintenance of the plan and overall COOP program
<b>Section 9</b>	List of appendices

# 1. FOREWORD

---

**This section is typically used to insert a letter from the PSAP Director regarding the importance of continuity planning. This section also contains the necessary approval language and signature blocks designating this document as officially adopted for use.**

Contact Information

**The Continuity Manager should be identified here along with an alternate contact.**

**Please direct questions and suggestions regarding this plan to:**

---

[NAME]  
[TITLE] [OFFICE; DEPT/AGENCY]  
[PHONE] [E-MAIL]

[NAME]  
[TITLE] [OFFICE; DEPT/AGENCY]  
[PHONE] [E-MAIL]

## Facilitator Notes

Use this section to document leadership support and direction. A plan owner is the person who updates and maintains the plan. The persons referenced here may be part of a larger organizational structure with legal responsibilities to carry out certain duties or they may be that person's designee.

## Key Questions

- Who is the accountable leader for the plan?
- Who is the alternate owner?

## Best Practices

Review the plan regularly to ensure these key contacts are up to date.

## 2. STATEMENT OF CONFIDENTIALITY

---

### Facilitator Notes

Use this section to document the sensitivities of the plan and limit distribution to those who require it.

### Key Questions

- Does the plan contain protected or sensitive information?

### Best Practices

Ask legal to provide guidance on the appropriate restrictions on the document.

MA public disclosure law exemptions can be found here:

- <https://www.mass.gov/service-details/exemptions>
- <https://www.mass.gov/files/2017-06/Public%20Records%20Law.pdf>

**This plan should be considered sensitive information and exempt from public disclosure laws. This section should include a description of any protections provided to prevent disclosure of the tactics and personnel information contained in the plan. Consult with the Massachusetts public records office for any confidentially questions. The Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) Continuity Plan Template for Non-Federal Agencies provides the following example language:**

*“This document, along with subsidiary plans and supporting documents, contains confidential information and are for official use only as provided in [enter applicable regulation]. These documents are to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with the standard procedures followed for confidential information at [organization name] and are not to be released without prior approval of the [organization head title] to the public or other employees who do not have a valid ‘need to know.’”*

### 3. RECORD OF CHANGES

---

**It is standard practice to track the changes to the document over time. This allows future owners of the plan to see how it has evolved and prevents relearning old lessons. The initial release of the plan should be listed as Change Number 1 with “All” for the sections involved and “Initial Release” for the Summary of Changes.**

*All approved additions and/or modifications to this COOP Plan will be recorded in this section. After a change is proposed and accepted, the person leading the change effort should document their name and title along with the date, sections impacted, and summary of the changes made. It is helpful, but not required, to include a brief rationale explaining the need for the change.*

***IMPORTANT:** After recording the change details, the change owner must ensure the new version of the plan is distributed according to the distribution plan detailed in the next section.*

Change Number	Date of Change	Sections Involved	Summary/Rationale of Changes Implemented	Change Owner (Name/Title)
1				
2				
3				
4				
5				
6				
7				

#### Facilitator Notes

Use this section to capture the review and edit cycle. Determine what level of detail needs to be recorded in the table (e.g., technical edits vs. policy changes).

#### Key Questions

- Who is responsible for updating the plan when changes are made?
- How are those changes distributed to appropriate parties (see Section 4)?

#### Best Practices

Record notable changes to the plan, update the version number and ensure that all parties who received the original plan, receive the updated content.

## 4. RECORD OF DISTRIBUTION

### Facilitator Notes

Use this section to capture the review and edit cycle. Determine what level of detail needs to be recorded in the table (e.g., technical edits vs. policy changes).

### Key Questions

- Who is responsible distributing updated plans?
- How are those changes distributed to appropriate parties (e.g., digital copy, hard copy)?

### Best Practices

Record notable changes to the plan, update the version number and ensure that all parties who received the original plan, receive the updated content.

**Due to the importance of this plan, it should be stored both digitally and in hard copy in different locations. This section is meant to help the organization successfully track all distributed copies so they can be updated and replaced each time the document changes.**

*Each time this plan is revised, the Continuity Plan Manager will ensure the updated version is distributed according to the plan below. Each time a revision is published, all prior versions of the plan should be collected and destroyed.*

*All personnel are encouraged to read the plan and become familiar with how the plan works. To support this, the plan should be stored in a prominent location where all personnel are able to access it. Keeping personal copies and/or prior versions of the plan is prohibited unless authorized by the Continuity Plan Manager. Upon approval, the Continuity Plan Manager should amend the distribution plan accordingly.*

Individual Distribution	
Position / Role	Format
<i>Center Director</i>	<i>Electronic</i>
<i>Continuity Plan Manager</i>	<i>Both</i>
<i>Shift Supervisors</i>	<i>Both</i>

Location Distribution	
Location	Format
<i>Policy Library</i>	<i>Printed</i>
<i>Drive Away Kit #1</i>	<i>Both</i>
<i>Drive Away Kit #2</i>	<i>Both</i>

## 5. INTRODUCTION AND PURPOSE

---

*This agency has essential functions that must be fulfilled even during times of crisis or emergency. It is not possible to predict what impacts an event or incident may have on this center and its ability to execute these essential functions. Planning for the operation of this center under these conditions can help to mitigate the impacts that may occur. COOP plans ensure that center operations are quickly and efficiently resumed during an emergency.*

### **Facilitator Notes**

Use this section to describe the need for the plan and discuss what a successful plan achieves.

### **Key Questions**

- Is anything foundational to the plan and the planning process the reader needs to know up front?
- Why does this plan exist?
- What would happen if there was no COOP plan?

### **Best Practices**

Look at the plans of other agencies for ideas on how to initiate the introduction and purpose section.

### Facilitator Notes

Use this section to document the purpose and important background details regarding the plan.

### Key Questions

- What does the reader need to understand about the purpose and context of the plan?

### Best Practices

The purpose and objectives should tell the reader what the most important goals are for the plan.

## 5.1 BACKGROUND

**This section tells the story of why, or perhaps how, the COOP Plan came to be. It sets the tone for the document. What this section contains is not critical provided it conforms to any cultural norms for similar documents and describes the rationale for the program (not the document) and its importance to the center. Include the center's Mission and Vision statements in this section.**

## 5.2 PURPOSE AND OBJECTIVES

*This plan documents the authorities, processes, and assignments required to effectively maintain operations with limited disruption under adverse conditions. The objectives of this plan include:*

- *Assign authorities and responsibilities to agencies, organizations, and individuals for carrying out specific actions during a COOP event;*
- *Detail the methods and procedures to be used by designated personnel to assess emergencies and take appropriate actions to protect life, limit service disruption, and restore and maintain operations;*
- *Provide a process by which personnel can efficiently and effectively prevent, mitigate, prepare for, respond to, and recover from emergencies and disasters; and*
- *Identify the responsibilities of local agencies and partnering stakeholders and organizations during a COOP event.*
- *Add any additional objectives that are agency specific.*

## 5.3 APPLICABILITY AND SCOPE

**This section should identify whether the plan includes all PSAPs in a jurisdiction or just one location. It should also state that all departments are covered by the plan (or provide a strong justification as to why not). This section should also identify any circumstances where the plan should or should not be used. For example, the applicability may be “All-Hazards” excluding pandemics.**

*This agency has essential functions that must be fulfilled even during times of crisis or emergency. It is not possible to predict what impacts an event or incident may have on this center and its ability to execute these essential functions. Planning for the operation of this center under these conditions can help to mitigate the impacts that may occur. COOP plans ensure that center operations are quickly and efficiently resumed during an emergency.*

- *Planned Events or Anticipated Incidents: Incidents that can be planned for in advance such as a hurricane, a winter storm, extreme temperatures, major crowd events or VIP visits, etc., and;*
- *Immediate Response Incidents: Incidents such as a tornado, airplane crash, earthquake, fire, hazmat incident, active shooter, cyber incident, etc..*

## 5.4 SUPERSEDES

**Over time, the center will accumulate many versions of this document. This section is meant to ensure that all previously used policies, plans, etc., are identified. It is also possible that as the various policies and procedures evolve over time, conflicting directives may arise. This section helps to identify whether this document is the definitive source when conflicting directives are identified.**

*The provisions of this COOP Plan dated [date of latest version] supersedes all previous versions of the document. The elements of this plan are considered authoritative unless otherwise noted. Conflicting directives pertaining to continuity found outside of this document should be brought to the attention of the Continuity Manager or center director.*

### Facilitator Notes

Use this section to define when the plan applies and when it does not. Describe any situations where this plan does/does not have precedence over existing doctrine.

### Key Questions

- What are the circumstances in which the plan applies/can be used?
- Are there situations in which this plan does not apply?
- Does this plan override any, some, or no existing directives, plans, policies, procedures, etc.?

### Best Practices

Any time the plan is updated, review the scope to ensure changes do not impact it.

## 5.5 AUTHORITIES AND REFERENCES

**There are likely federal, state, and local laws and regulations that impact the need for COOP as well as requirements the plan must satisfy. The plan may also be informed by a variety of best practices that are shared by trade organizations and other agencies. The authorities section includes the list of all laws, regulations, and policies that govern the document. The references section contains any third-party resources which helped to shape the plan.**

### Facilitator Notes

Use this section to document the sensitivities of the plan and limit distribution to those who require it.

### Key Questions

- What laws, regulations, executive orders, etc., impact PSAP operations?
- What documents were used as a basis for developing the plan?

### Best Practices

This section serves as a short-cut to identify significant documents that the planning team relied on. Periodically, this section should be reviewed to determine if any of the authorities or key documents were updated. If yes, it signals a need to review the plan and ensure continued alignment.

#### Authorities

- *The National Security Act of 1947, 50 U.S.C. 401, as amended;*
- *The Homeland Security Act of 2002, PL 107-296, enacted November 25, 2002;*
- *Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121, et seq.);*
- *Executive Order 12148, Federal Emergency Management, July 20, 1979, as amended;*
- *Presidential Policy Directive (PPD) 40, National Continuity Policy. National Response Framework, January 2008;*
- *Federal Continuity Directive 1 (FCD 1), Federal Executive Branch National Continuity Program and Requirements, 2017;*
- *Federal Continuity Directive 2 (FCD 2), Federal Executive Branch MEF and Primary MEF Identification and Submission Process, 2017;*
- *Code of Massachusetts Regulations: 560 CMR 2.00 - Appendix A; and*
- *COOP Plan is to be updated annually.*

#### References

- *Comprehensive Preparedness Guide 101: Developing and Maintaining Emergency Operations Plans, Version 2.0, November 2010;*
- *Continuity Guidance Circular, February 2018;*
- *Title 44, CFR Part 2, Subpart A – Organization, Functions, and Delegations of Authority, October 1, 2005;*
- *Title 41, CFR 102-74.230 through 74.260, Occupant Emergency Program, revised July 1, 2005;*
- *Title 36, CFR Part 1223, Management of Vital Records, revised July 1, 2005; and*
- *MA NENA Emergency Operations Plan, Version 1.0, revised November 9, 2021.*

## 5.6 OTHER ASSOCIATED AND DEPENDENT PLANS

**This section lists plans the COOP Plan is dependent on or needs to align with, including other documents that are used in conjunction with the COOP Plan. This may include plans such as Emergency Operations Plans (EOPs), Information Technology (IT) Disaster Recovery Plans, building evacuation procedures, etc..**

### **Cyber Incident Response Plan**

*[Describe the nature of the dependencies (e.g., “the cyber incident response plan calls for a decision regarding the need to activate the COOP Plan to restore operations”)]*

### **Evacuation Plan**

*[Describe the nature of the association (e.g., “the COOP Plan relies on the facility evacuation plan as the definitive process for egress during an emergency”)]*

### **Emergency Operations Plans (EOPs)**

*[Describe the nature of the association (e.g., “the COOP Plan relies on the EOP to define the structure for an emergency response at the County level”)]*

### **EMD Protocols - “Emergency Rule”**

*[Describe the nature of the association, e.g., “the COOP relies on the center’s EMD protocols - “Emergency Rule” to define when the dispatch center may suspend normal protocols on providing EMD instructions to callers (i.e., when call volume or other circumstances push a center beyond capacity)]*

*\*Individual agencies must customize the list of associated and dependent plans.\**

### **Facilitator Notes**

Use this section to document other plans that this plan relies on or is referenced within.

### **Key Questions**

- What plans support or are directly referenced in this plan?
- Is this plan referenced in other plans?

### **Best Practices**

When listing dependent plans, add a short description of the dependency to clearly articulate when it is important to refer to that plan.

## 6. PLANNING SCENARIOS AND ASSUMPTIONS

---

### Facilitator Notes

Planning assumptions are foundational to plan development. There are two dominant approaches to planning: planning for the worst case/catastrophic scenario (maximum of maximums) or planning for capabilities aligned to daily operations and common emergencies. Each approach has merit, and they can be applied jointly; however, it is important to determine what type of plan is most appropriate with the planning team early in the process.

### Key Questions

- What scenarios should be used to create the plan?
- To validate that the scenarios are sufficiently different, ask what changes between the scenarios?

### Best Practices

Agree on a planning framework and assumptions up front. These become a central anchor to prevent the plan from becoming too large or too small to meet the department's needs. Note that personnel shortages also pose a threat to COOP. Be flexible and make staffing applicable to the current situation.

**This section defines planning scenarios the team may use to assist in creating an effective plan. Work with local EMA to identify local threats. These scenarios can become use cases later to test if the plan meets all expected needs.**

*This section describes the planning scenarios and assumptions that were used to create the plan. They provide important boundaries for when the plan can and cannot be applied. Also, these scenarios were selected by [describe the planning process...].*

## 6.1 THREAT AND HAZARD IDENTIFICATION AND RISK ASSESSMENT (THIRA)

This section will include a threat and hazards matrix where each of the FEMA Community Planning Guide 201 threats are evaluated. This section also identifies the top five threats and any threat readiness levels that are defined by the center, aligned to the top five threats.

The assessment should include a business impact analysis that answers the following questions:

- What would be the impact if the Mission Essential Functions (MEF) performance is disrupted?
- What is the timeframe for unacceptable loss of functions and critical assets?

## 6.2 PLANNING SCENARIOS

Planning scenarios orient the team to ensure their thought processes are aligned both during plan development and implementation. This section describes the scenarios and articulates the typical situations that may result from the scenarios. Further, this section describes how center operations are impacted.

Three useful scenarios include: 1) Ransomware or Cyber Attack; 2) Natural Disaster; and 3) Emergency Evacuation of Facility.

### Facilitator Notes

Use this section to describe the threat and hazard scenarios determined most likely to impact the center along with other planning scenarios.

### Key Questions

See previous page.

### Best Practices

Review the plan regularly to ensure the threats and planning scenarios remain up to date.

## 6.3 ASSUMPTIONS

### Facilitator Notes

Assumptions are part of defining the boundaries of the plan. Well defined assumptions make it clear to the reader any essential concepts the planning team used to plan (i.e., staffing is possible at least 10%, or a disaster is declared).

### Key Questions

- What are the things we are depending on for this plan to even work?
- What factors are we including in our decisions that would cause us to make different decisions if they were not true?

### Best Practices

Review the plan regularly to ensure these assumptions are complete and accurate.

**It is not possible to document every contingency possible. Assumptions must enable the development of the plan without it growing to the point that it becomes unusable. It is helpful to include fundamental assumptions like “essential functions can be restored,” or “mutual aid support can be received.” Please note, agencies must work with their alternate PSAP(s) to come up with the assumptions. In addition, the capabilities of the 911 mobile command post should be listed. Then, during the development process, the facilitator should pay special attention to additional assumptions being made by the workgroup as decisions are made. These items should also be documented in this section along with the context of the decisions they influenced.**

## **7. CONCEPT OF OPERATIONS (CONOPS)**

---

*This section describes the CONOPS for continuity including command and control, personnel management, alternate work site requirements, communications, MEFs, and phases of operation.*

### **Facilitator Notes**

The CONOPS details the how of the plan: who is responsible, what will they do; what are the conditions they will do them under and the standard they will do them to.

### **Key Questions**

◦ Key questions are detailed by section for each component of the CONOPS.

### **Best Practices**

When developing the CONOPS, it may be helpful to begin by working through MEFs and Essential Supporting Activities (ESA) FIRST (Turn to page 33 and 50).

## 7.1 LEADERSHIP COMMAND AND CONTROL

### 7.1.1 DELEGATIONS OF AUTHORITY

#### Facilitator Notes

There are two types of delegation of authorities:  
(1) Formal Delegation of Responsibility  
(2) Role/Position-Based Responsibility

#### Key Questions

- Who is legally responsible for the execution of the plan vs. who is operationally responsible?
- Who can legally receive the delegation of authorities required to facilitate the plan?
- What is the commander's intent for implementation of the plan?
- How do management responsibilities change from day-to-day operations during plan implementation?

#### Best Practices

Ensure the plan clearly delineates the difference between a delegation of authority and an order of succession.

**This section outlines delegations of authority relevant to the plan. There are limitations on who can make policy decisions. Some of these limitations are related to the division of roles and responsibilities. Other limitations are a matter of law and/or regulations. Pre-determined delegations of authority are designed to go into effect when normal operations are disrupted and allow decisions to be made by alternate individuals until regular operations are resumed.**

**Documented delegations of authority should include the authority itself, the circumstances when authority is passed, which responsibilities are being delegated, and those which are being withheld. If the authority being delegated is statutory, a copy of the formal delegation of authority should be added in an appendix in addition to the details added here.**

**NOTE: Be careful to think broadly about these positions. Finance and procurement personnel, IT staff, other personnel are all equally important to the activation.**

Authority	Position Holding Authority	Triggering Conditions	Limitations to Delegated Authority	Recipient

## 7.1.2 ORDERS OF SUCCESSION

**This section identifies successors to ensure there is no lapse in leadership or decision-making authority when incumbent personnel are incapable or unavailable to fulfill their duties. This section should include all decision-making positions associated with the COOP Plan as well as all those associated with fulfilling the MEFs/essential supporting activities.**

**NOTE: Be careful to think broadly about these positions. Finance and procurement personnel, IT staff, and other personnel, are all equally important to the activation. It is suggested to have two alternates for all MEFs/ESAs. These alternates will be in charge of decision making for their position in the event the incumbent person is not available.**

Position	First Alternate	Second Alternate

### Facilitator Notes

The orders of succession include the positions designated to fulfill a critical role should the incumbent become unable to fulfill their duties. These successors should name a role and not an individual.

Throughout the implementation of the plan, data-driven decisions are needed on a recurring basis. This section will document the decisions to be made, the frequency, and the critical information needed to make a sound choice.

### Key Questions

¶ Key questions for section 7.1 are listed on page 15.

### Best Practices

Think broadly about these positions and the information required to make decisions. A main purpose of this plan is to ensure that people who need to make decisions can legally do so, have the information they need, and can communicate to receive information and issue their decisions.

## 7.13 CRITICAL INFORMATION REQUIREMENTS

**This section documents key decisions to be made, the frequency, and the critical information needed to make a sound choice. Common situations and decisions requiring information may include: personnel accountability, status of critical systems, and situation updates.**

**As these items are documented, be sure to include the following details:**

- **Decision/Information Item**
- **Specific data requirements**
- **Responsible person or team**
- **Deliverables depending on this information**
- **Timing and frequency of collection**
- **Authorized distribution**

### Facilitator Notes

Critical information requirements are items leadership must know to make decisions about the situation. This section documents not only the information but the owners and methods for receiving it.

### Key Questions

- Key questions for section 7.1 are listed on page 15.

### Best Practices

Ensure critical information requirements align to decision-makers in the plan, and the communications plan details how and when they will receive information.

<b>Situation or Decision</b>	<b>Information Requirement</b>	<b>Recipient List</b>	<b>Collection Owner</b>	<b>Frequency Needed</b>	<b>Immediate Reporting Threshold</b>

## 7.1.4 DEVOLUTION

**Devolution is a special case of delegation of authority that occurs when the agency is impacted to the point that it is no longer viable. The devolution statement should begin with the decision criteria (e.g., circumstances that will prevent the restoration of many, if not all, of the MEFs) and decision authority. This section should also include the successor agency that will assume these responsibilities should this occur.**

**IMPORTANT: Several factors, including pre-existing agreements, other regulations, and potentially other agency policies regarding devolution may impact how and when this decision can be made. It may also limit options for successor agencies. Keep in mind that your RECC / PSAP may have specific Governance Documents or IMA / District Agreements that outline what to do if your center is no longer viable. Ensure that the information captured here does not conflict with your specific governance.**

*In the event [Agency Name] is overcome by the loss of the primary work site and all alternate work sites and/or 75% or more of personnel are unable to perform their essential duties described in this Plan, the need for devolution may arise. Devolution may occur upon the unilateral determination by [Role Name / Next Higher Authority] or based upon the recommendation of the most senior surviving official as determined by the Orders of Succession in Section 7.1.2 of this plan.*

*Effective immediately upon this determination, all authorities and essential functions shall be transferred to [Successor Agency]. The members of the [Name of Advance Team] and the remaining senior officials will assist the successor agency assume the performance of the organization's essential functions.*

### Facilitator Notes

Devolution is the process that occurs when the facility impacted is not able to operate or decide for itself how to reconstitute operations. This section describes the rare circumstance where the center is unable to function or make its own decisions.

### Key Questions

- What are the circumstances that would cause the center not to be able to function in any capacity?
- Who would need to take over the responsibilities of the center if this were to occur?

### Best Practices

Understanding your MEFs is essential for developing this section. You may want to write this section after you finish section 7.5.

## 7.2 PERSONNEL

### 7.2.1 KEY PERSONNEL, INDIVIDUAL ROLES, AND TEAM ASSIGNMENTS

**This section identifies the key personnel that will lead the operation while it is ongoing. As with orders of succession, it is important to name the roles and not the person. If you do not have the staff to assign to the roles, switch the approach based on size of PSAP staff. Plan to be flexible in general.**

#### Facilitator Notes

This section focuses on the people part of the plan. It is here that teams are defined, responsibilities are assigned, and policies associated with caring for staff during activation are defined.

#### Key Questions

- What are the critical roles that must be fulfilled to achieve the MEF/ESA described in the CONOPS?
- Who can serve in those roles during an adverse event?

#### Best Practices

Similar to the orders of succession, it is important to name the roles and not the person in this chart.

Position	General Responsibilities
Director	
Deputy Director	

Individual Roles	Assignee	Function Description
Continuity Coordinator		
Continuity Site Operations Manager		
Reconstitution Coordinator		
Alternate Work Site (AWS) Coordinator		
Critical Systems Manager		
Essential Records Manager		

Team	Leader	Assignees	Function Description
Executive Team			
Emergency Relocation Team			
Alternate Site Team			
IT Support Team			

## 7.2.2 ROLES AND RESPONSIBILITIES

The purpose of this section is to document the responsibilities and task assignments for each role across all four phases of the COOP lifecycle. Please customize this table to the needs of your agency. If needed, task columns can be removed or added.

Role/Team				
Phase	Task 1	Task 2	Task 3	Task 4
Phase I - Preparation				
Phase II - Activation and Relocation				
Phase III - Continuity of Operations				
Phase IV - Reconstitution				

### Facilitator Notes

This section should detail the required roles and responsibilities for personnel including details on what, if any, can be filled by outside resources.

### Key Questions

- What are the legal minimum staffing requirements? What is the operationally feasible minimum staffing?
- How do roles and responsibilities change by position from day-to-day operations during plan implementation?
- What mutual aid can be accessed? How must those resources be supported?
- What do personnel need (e.g., food, housing) in order to operate under the plan?

### Best Practices

Ensure any potential personnel augmentation is approved by Human Resources and legal, and any required mutual aid agreements are complete and signed.

## 7.2.3 STAFF AUGMENTATION AND MUTUAL AID

There is a strong possibility that whatever incident causes the activation will also personally impact a portion of staff. It may be necessary to find ways to augment personnel. This section describes the roles that can be filled by non-center personnel along with any required qualifications. This section should also provide details regarding potential sources of temporary personnel [e.g., state or regional Telecommunicator Emergency Response Teams (TERT) teams filling in for telecommunicators].

### Facilitator Notes

See previous page.

### Key Questions

See questions on page 20.

### Best Practices

Document certification requirements for positions to make requesting mutual aid simpler during an emergency or event.

Severity of Impact	Primary Source	Secondary Source
<b>Normal Operation (0-25% of FTE are unable to work)</b>		
<b>Degraded Operation (26-50% of FTE are unable to work)</b>		
<b>Impaired Operation (51-75% of FTE are unable to work)</b>		
<b>Limited Operation (76-100% of FTE are unable to work)</b>		

Critical Position	Required Skills / Certifications	Potential Source

## 7.2.4 TRANSPORTATION, FOOD, AND LODGING

**This section details policies and procedures regarding how personnel are transported, housed, and fed during an activation. Hygiene, housing, food, and contact with their families are all important considerations for team morale when working in high-stress conditions. These functions can be accomplished by entering into agreements with other agencies or non-profit organizations. It may be necessary to create agreements with pre-identified private vendors to provide support on very short notice during emergencies.**

### **Facilitator Notes**

Without support, staff may not be able to continue working in their assigned roles. This section details the arrangements that ensure the staff carrying out MEFs/ESAs can be sustained during an adverse event.

### **Key Questions**

See questions on page 20.

### **Best Practices**

Consider working with non-profit organizations and other non-traditional partners (e.g., hospitals or universities with large cafeterias, prisons) to secure support. Codify agreed upon support through Memorandums Of Understanding (MOUs)/Memorandums Of Agreement (MOAs).

For short duration events, develop a policy or best practices guide for staff to create and maintain “Go-bags.” Have some basic supplies on-hand at the center:

- Travel size toothpaste
- Toothbrush
- Travel shampoo
- Hand sanitizer

## 7.2.5 MENTAL HEALTH AND EMPLOYEE SUPPORT

**This section details policies and procedures regarding how personnel can access real-time mental health support, as well as any other support services (e.g., schedule flexibility, transportation, dependent care, etc.) available to personnel to assist them with managing the personal impact of the incident that necessitated COOP activation.**

### Facilitator Notes

Without the right support, staff may not be able to continue work. This section documents the services available to support real-time mental health care.

### Key Questions

- Are mental health services available on demand? Who can initiate them?
- What other support and resources are available to assist employees during an emergency?
- Are non-profit, faith-based, and community organizations able to support employee wellness?

### Best Practices

Engage with employees and their representative associations to determine what kind of support might be needed and appreciated during a major incident.

Specific examples of employee mental health support groups in Massachusetts include:

- Employee Assistance Program (EAP)
- Critical Incident Stress Management Peer Support Groups (CISM)

## 7.3 ALTERNATE WORK SITE (AWS) REQUIREMENTS

### 7.3.1 LOCATION

**This section lists the address and point of contact for each site. It is helpful to document the Global Positioning System (GPS) or What-3-Words location (from the same-named app) along with directions and known points of reference. Additionally, for each location, declare the type of site (hot, warm, cold), identify the capacity of the site, any equipment, or systems already present, and any MOU or contract details (especially date of execution and duration of agreement). It may not be possible for all MEFs to be performed from the site. If there are any potential exclusions, include the functions that are not possible and the rationale as to why. This section should also be used to identify any features of the facility that help with resiliency. For example, is there a generator and if so, what is its capacity, fuel source, run time, and support provider? Telework should be documented as a site if the option exists. Include details regarding which personnel will telework along with any specific requirements that must be met for this to remain a viable option.**

#### Facilitator Notes

Use this section to document the requirements of the AWS.

#### Key Questions

- What facilities are available that can be utilized to meet the requirements of the alternate work site in a sufficient time to achieve Recovery Time Objectives?
- Are there multiple potential sites in geographically distinct areas of operation?

#### Best Practices

The purpose of this section is to document the physical and technical requirements that make this location suitable as an AWS.

## 7.3.2 SPACE CONFIGURATION

**This section includes a reference to the floor plans which can be described or drawn here and/or placed in an Appendix and includes details regarding how the space will be used when occupied. If rooms are to be reserved for offices or meeting space, be sure to annotate the intended purpose. It is also important to annotate any rooms that are “off limits.”**

### Facilitator Notes

Use this section to document leadership support and direction.

### Key Questions

- What are minimum space requirements to sustain operations?
- What are the technical requirements for the AWS? What assistance is required to activate and support required tech?

### Best Practices

Plan how you will utilize the space at the new location. Where will the different people sit? Where will people take breaks or sleep, etc.? It is helpful to draw the floorplan so it can be used as a reference.

It is not very common to have an alternate site which is ready to occupy. Creating a deployment plan for the communications and technology equipment will reduce the time to achieve Recovery Time Objectives.

## 7.3.3 COMMUNICATIONS AND TECHNOLOGY REQUIREMENTS

**The facilities may have existing technology infrastructure that can be used to reduce the level of effort to transition into the space. These capabilities should be documented along with points-of-contact if there are questions. The sites may also have infrastructure that can be enabled during an emergency (e.g., phone lines). These capabilities along with a plan to activate the service should be documented. The plan may call for pre-staged equipment. If the location will house a cache of pre-staged equipment, document the location where the items can be found.**

Technology	MEFs Supported	Vendor/Provider	Alternate Source	Special Notes

## 7.3.4 SITE SECURITY AND LOGISTICS

**This section describes the physical security and logistics capabilities of the alternate site(s) including perimeter fences, secure parking, CCTV, outdoor lighting, controlled access, on-site security, ability to access the building with large vehicles (e.g., semi-trailer, large military vehicles), loading docks, etc. If access for large vehicles is not possible (e.g., low hanging power lines, narrow access routes, etc.), include details regarding why the site is unsuitable. Also include estimates for the largest vehicle size that might be able to get to the site.**

### Facilitator Notes

Logistics and security may become essential during certain types of emergencies and sustained disaster operations. Use this section to describe facility needs/deficiencies so leaders can make rapid determinations of which alternate site is best given the current conditions.

### Key Questions

- Are there security concerns with the alternate site and do they differ depending on the planning scenario?
- What logistics are required to sustain the alternate site (e.g. supplies, commodities) and what access is there for trucks, large vehicles, etc.?
- What constitutes a secure site? (Follow an MOU).
- Use dual authentication, locked room, etc.

### Best Practices

Some buildings are in areas that may prove challenging for larger box trucks or 18-wheelers to enter. If access is possible, document the route that must be followed to get to the site.

Lock things up, or ensure an officer provides on-site security

## 7.4 COMMUNICATIONS

### Facilitator Notes

Without the ability to communicate with staff, vendors, and the public, the COOP Plan cannot be implemented. This section details how different components of communications will be maintained.

### Key Questions

- What are the essential communication pathways that need to be sustained during plan implementation?

### Best Practices

It is easy to underestimate the challenges of communicating during an emergency. Having a plan for communications which leverages different technologies and systems will help to minimize the impact to the operation.

### 7.4.1 MANAGEMENT COMMUNICATIONS

**This section describes how senior leaders will remain in contact with each other and may also include how the leadership team will remain in contact with other senior officials including elected officials, city or county administrators, emergency management coordinators, etc.**

**It is especially important for the plan to follow a “PACE” methodology, by identifying the primary, alternate, contingency, and emergency communications methods to be used. If special devices are required (e.g., satellite phones), the plan should identify how these are obtained.**

Communications	Voice	Network	Conferencing	Data Store File Exchange
Primary	LMR	NIPRNet(AES)	MS Teams	MS Teams
Alternate	NIPR VoIP Cellular			
Contingency	Tactical VHF			
Emergency	Tactical HF/ UHF/TACSTAT			

## 7.42 EMPLOYEE COMMUNICATIONS

**This section includes the plan for how information is passed from the management team to employees. The plan should identify whether the mechanism supports confirmations of receipt of message, information security, and reliability. When messages are passed, the plan should identify the preferred mechanism and whether multiple paths should be used simultaneously. Common mechanisms include:**

- **Employee call list / Phone tree**
- **Alert messaging services / Reverse 9-1-1**
- **Intranet announcements**
- **Email announcements**
- **Voicemail/IVR announcements**
- **Hotlines**

## 7.43 VENDOR COMMUNICATIONS

**This section will include details regarding what information can be shared with vendors, any requirements for non-disclosure agreements, and the impacts of vendor communications on emergency procurement.**

### **Facilitator Notes**

Use this section to document how leadership will communicate with employees and vendors.

### **Key Questions**

- What communications capabilities are required to reach employees? What information can be shared with them?
- What communications capabilities are required to reach critical vendors? What information can be shared with them?
- If the COOP Plan is PSAP specific, will the media go to the PSAP PIO or to another PIO?

### **Best Practices**

In general, vendors should be kept on a "need to know" basis. This is especially true during cyber incidents.

## 7.4.4 MEDIA COMMUNICATIONS

### Facilitator Notes

When the COOP Plan is implemented, the public is likely to require information immediately regarding how to request help. Detail the engagement of the PIO in this section to streamline public notification and limit disruptions to service.

### Key Questions

- Who is responsible for coordinating public/media messaging with the PIO?
- Are pre-designated messages included in this plan?
- Are there policies in place for staff regarding communication with the media including personal social media use?

### Best Practices

Ensure the appropriate PIO is aware of the continuity plan as well as the potential implications of a COOP event well in advance of any emergency. Include the PIO in all relevant training and exercises so they develop a working knowledge of what COOP operations entail. Ensure staff know policies regarding talking to the media, along with social media policies. Identify how media policies may change during a COOP event.

**This section of the COOP Plan includes two parts. The primary purpose for this section is to provide guidance to the Public Information Officer (PIO) regarding policies and procedures for the public release of information. The Plan should also identify which media outlets to engage and when. It should also include guidelines on how to respond to inquiries from the media. Staff should be given guidance on how to redirect inquiries to the PIO. It may also include guidance regarding the disclosure of information through personal social media.**

## 7.5 MISSION ESSENTIAL FUNCTIONS (MEF) AND ESSENTIAL SUPPORTING ACTIVITIES (ESA)

**MEFs are the core of the agency's mission and cannot be halted for any reason. ESAs include the capabilities that are prerequisites for the MEFs and/or the plan itself. For example, MEFs may not require procurement but the execution of the COOP Plan will almost certainly require it. Refer to Section 9.6 on page 48 for a detailed chart that provides the rationale for the program (not the document) and explains its importance to the center.**

### Facilitator Notes

MEFs are the activities that have to occur either by law or in order for the PSAP to remain functional.

### Key Questions

- What are the center's essential functions/activities that must be sustained?
- What functions enable those essential functions (e.g., payroll, IT)?
- Within what times do essential functions/activities need to be performed? Are there laws or rules that require certain resolution times?
- Does the roles and responsibilities section account for all these activities and functions?

### Best Practices

Refer to page 48 for a detailed MEF chart that assists with completing this section.

## 7.5.1 DISRUPTION LESS THAN ONE DAY

### Facilitator Notes

Use this section to document which MEFs are impacted between less than a day and less than a week.

### Key Questions

- What are the MEFs that cannot be disrupted for more than 1 day? 1 week? 1 month?
- What are the other activities which will eventually cause a disruption to a MEF if it does not continue?

### Best Practices

Dividing the MEFs and ESAs into maximum allowable disruption helps to select the appropriate level of activation during an emergency and establishes priorities for restoring service during an operation.

The following table includes the functions that must continue even if the disruption is less than one day.

Mission Essential Function	Department Responsibility	MEF	ESA
Answer 9-1-1 calls received from landline and wireless callers requesting Law Enforcement, Fire, and/or Emergency Medical Services	Emergency Communications		
Dispatch Law Enforcement, Fire, and/or EMS	Emergency Communications		
Maintain operational availability of mission critical systems including Computer Aided Dispatch (CAD), Emergency Telephone Systems, Land Mobile Radio (LMR) System, etc.	Information Technology Services		
Protect the integrity of the physical security of primary 9-1-1 center and alternate work sites	Law Enforcement Agency		
Different control points are in charge of different things	Law Enforcement Agency		

## 7.5.2 DISRUPTIONS GREATER THAN 1 DAY AND LESS THAN 1 WEEK

The functions in this table must be performed given a disruption lasting longer than 1 day and less than 1 week. These items are typically ESAs but it is possible MEFs may fall into this category.

Mission Essential Function	Department Responsibility	MEF	ESA
Timekeeping and Payroll	Human Resources		X

### 7.5.3 DISRUPTION GREATER THAN 1 WEEK AND LESS THAN 1 MONTH

The functions in this table must be performed given a disruption lasting longer than 1 week and less than 1 month. In addition to MEFs and ESAs, this section may include other obligations and requirements (e.g., legal reporting).

Misslon Essential Function	Department Responsibility	MEF	ESA
<i>Timekeeping and Payroll</i>	<i>Human Resources</i>		X
<i>Publicly Available Reporting</i>	<i>Center</i>	X	

#### Facilltator Notes

Use this section to document MEFs during a time greater than a week and less than one month, along with recovery time objectives.

#### Key Questions

See previous page.

#### Best Practices

Recovery Time Objectives (RTOs) should be used as a guideline to establish a relative priority set from within the MEFs. RTOs define for vendors and outside IT providers the tolerable amount of downtime in a system.

### 7.5.4 ASSIGNMENT OF RECOVERY TIME OBJECTIVES (RTO)

The MEFs should be assigned recovery time objectives. This is the maximum time that an outage can be tolerated. All dependencies of the MEF will inherit its RTO. This target will help to prioritize the actions taken when the plan is activated. For advanced plans, connect the Recovery Time to the Threat Levels defined in the Classification of Emergencies Section 7.6.2.2.

Misslon Essential Function	Department Responsibility	Recovery Time
<i>Answer 9-1-1 calls received from landline and wireless callers requesting Law Enforcement, Fire, and/or Emergency Medical Services</i>	<i>Emergency Communications</i>	<i>&gt; 30 Min</i>

## 7.6 OPERATIONAL PHASES AND IMPLEMENTATION

### Facilitator Notes

There are four operational phases that the COOP Plan is implemented through: Preparation, Activation and Relocation, Continuity Operations, and Reconstitution. Preparedness is critical to all following phases.

### Key Questions

- What equipment and supplies need to be pre-positioned in a hot, warm, or cold alternate site?

### Best Practices

Ensure that pre-positioned resources are on a lifecycle plan for maintenance, updates, and replacement.

## 7.6.1 PREPARATION

*This section details the steps that must be taken to prepare for COOP operations. Develop a detailed list of Drive-Away contents and incorporate those kits in monthly testing processes. Ensure the alternate work site has proper facilities for the team (e.g., bathroom facilities, water, power, etc.)*

### 7.6.1.1 PRE-POSITIONED RESOURCES

**This section describes what supplies and equipment should be maintained in prepositioned caches. This may include laptops, printers, software, office supplies, MREs, water, and PPE. The types and quantities of items should be documented including the location of where the items are stored and when they expire.**

Equipment	MEFs Supported	Quantity	Pre-Positioned	Hand Carried	To Be Ordered

Supplies / Consumables	MEFs Supported	Quantity	Pre-Positioned	Hand Carried	To Be Ordered

## 7.6.12 DRIVE-AWAY KITS

This section describes the contents of the drive-away kit. The drive-away kits are meant to enable the Advance Team to quickly activate and transition the operation to the AWS.

Kit Name	Equipment	Assignee	Issue on Demand	Storage Location	Maintenance Frequency
<i>Drive-Away Kit 1</i>		<i>ERG Leader</i>	<i>No</i>	<i>Supply Room</i>	<i>Monthly</i>

## 7.6.13 PERSONAL AND FAMILY PREPAREDNESS

This section describes the steps individuals are expected to take to prepare themselves and their families for an activation.

### Facilitator Notes

Caches of equipment can be pre-positioned but drive-away kits should also be created and regularly maintained. Individual personal deployment kits will help personnel be prepared for sustained operations.

### Key Questions

- What supplies and equipment need to be available in go-kits for the advance team or in case of a rapid evacuation?
- Are personnel expected to sustain themselves and if so, for how long?

### Best Practices

Encourage personal and family preparedness as a core component of the COOP program. Utilize the Ready Responder tools available through Ready.Gov.



## 7.6.2 ACTIVATION AND RELOCATION

*This section details activation and relocation processes. Develop a decision tree and table that outlines needed action items.*

### 7.6.2.1 DECISION-MAKING PROCESS AND INITIAL ACTIONS

**This section describes personnel who are authorized to evaluate a situation and make the determination as to the level of emergency that exists and whether the COOP Plan should be activated in part or in its entirety. The plan should begin with guidance about how the authorized person should make the decision. Two critical decisions that should be referenced here are the AWS location (refer to 7.3.1) and hours of operation.**

Level	Decision/Status	Initial Actions
1	Normal Operations	
2	No Evacuation	
3	Partial Evacuation	
4	Full Evacuation	

#### Facilitator Notes

Use this section to describe the process and information required to initiate the plan.

#### Key Questions

- What triggers a decision to implement the plan? Who can make the decision?
- How are personnel notified of the decision?

#### Best Practices

A useful tool is a 2x2 matrix with the rows indicating whether there is advance warning of the situation and the columns indicating whether the event is occurring during primary duty hours. In each box, provide several considerations for the person to use as they begin the decision-making process.

## 7.6.2.2 CLASSIFICATION OF EMERGENCIES

The purpose of this section is to assist the decision-maker referenced in 7.2.1 with assessing the level of emergency and directing initial action. There are typically 4-5 categories of emergency named under column Threat Level. Threat Condition Criteria detail the information that indicates a Threat Level is reached and the Plan of Action lists the immediate 3-4 steps the decision-maker should take.

Threat Level	Threat Condition Criteria	Plan of Action

### Facilitator Notes

Use this section to describe the how emergencies are classified and how personnel are notified of a COOP incident.

### Key Questions

- What conditions need to be present to determine if something is an emergency?
- How are personnel notified of the decision?

### Best Practices

Maintain a balance between enough guidance and too much, so that PSAP personnel actually utilize the plan. Refer to SOPs and checklists to be included in the Appendix.

Checklists can support the guide and may describe who is to be notified, and how, (e.g., Mayor, Law Enforcement, Fire, EMS.) Include confirmation pathways to ensure notifications have been received.

## 7.6.2.3 ALERT, NOTIFICATION, AND IMPLEMENTATION PROCESS

This section describes the notifications sent to alert personnel of activation and should refer back to/align with the existing section on Management and Employee Communications 7.4.1 and 7.4.2. This will be more detailed for state/regional PSAPs but less detailed for small PSAPs.

Recipient	Sender	Notification Method	Message	Receipt Confirmation
<i>Emergency Relocation Group Advance Team</i>	<i>911 Emergency Communications Supervisor (On Duty)</i>	<i>Text, Email, and Phone Tree</i>	<i>The COOP Plan has been activated. Please proceed immediately to [AWS Chosen] and begin preparations for relocation</i>	<i>Recipients will respond with ETA at AWS</i>

## 7.6.3 RELOCATION PROCESS

**This section should include the details regarding the process of leaving the facility to some other destination. The plan should direct the Advance Team to depart for the AWS with the rest of the section focused on the transfer of operational control. The staff will likely want to use their privately owned vehicles (POVs) to travel to the AWS. This is not always possible, and it may be necessary to engage with a private carrier to transport people and equipment to the AWS. This process should begin with the steps to take to transfer operational control (e.g., routing calls to an alternate PSAP, securing the facility, etc.). The next part of the section should include the mechanism for maintaining accountability of all personnel as they are in transit to their designated AWS. This section will conclude with the steps to take as the staff arrive at the AWS. This may include:**

- **Check-in process**
- **Seating assignments**
- **Retrieval of the pre-positioned equipment**
- **Monitoring the status of personnel still in transit**
- **Deploying the critical technologies needed to re-establish the MEFs**
- **Sending out updated messages to the staff**

### **Facilitator Notes**

Use this section to document how relocation occurs.

### **Key Questions**

- What process is followed to implement the plan if re-location is required?
- What systems are required to make notifications?
- Are critical systems part of a comprehensive IT restoration of services prioritization?

### **Best Practices**

Determine if personnel can drive themselves or if transportation will need to be arranged. Consider weather, parking, etc.

## 7.6.4 CONTINUITY OF OPERATIONS

*This section details how the MEFs and ESAs are achieved after relocation to the AWS. Determine what additional resources may be necessary and who should be contacted to access them.*

### Facilitator Notes

Use this section to document how COOP occurs and the systems required to support them.

### Key Questions

- What systems are critical to sustained operations?
- Should mission critical functions, like communications and technology sections, merge or stay separate?

### Best Practices

Develop a guide for most critical elements in advance, and then define other priorities for future development.

### 7.6.4.1 MISSION CRITICAL SYSTEMS

**This section details the systems required to fulfill each MEF. For each MEF, the essential records, systems, applications, and equipment should be listed. For example, for the MEF “answer 9-1-1 calls” the essential equipment may include the call handling equipment which has an RTO of 6 hours and requires the Session Initiation Protocol (SIP) trunk to the carrier, the Private Branch Exchange System (PBX), and the call processing servers X, Y, and Z. This MEF also requires the Geographic Information System (GIS) which has an RTO of 4 hours and requires access to the enterprise network and the GIS server cluster.**

Priority	System Name	Description	MEFs Supported	Current Location	Owner	Backup Location	Testing Frequency

## 7.6.4.2 VITAL RECORDS AND DATABASES

This section details the vital records and databases that are required to complete the MEFs and ESAs. The essential records, files, or databases should be listed individually. For each item, include the MEF(s) it supports, its location (physically or where on the network it can be found), whether it is stored electronically or as a hardcopy, if it has been prepositioned, if it will need to be hand carried to the AWS, and the frequency it is updated. This section of the plan may include information regarding off-site storage of records. It should also include details regarding the off-site storage of server back-ups should it be necessary to restore the systems from a previous snapshot in time. Furthermore, it should detail the process by which records that must be moved during the relocation process shall be relocated.

### Facilitator Notes

Use this section to document how vital records are managed and maintained during a COOP incident.

### Key Questions

- What records are required to be maintained/accessed during the implementation of the plan?

### Best Practices

Ensure the plan includes processes to maintain legally required vital records and databases securely throughout the COOP incident.

Record	MEFs Supported	Format (e.g., hardcopy, electronic)	Pre-Positioned at AWS?	Hand Carried to the AWS	Record Description

Record	Method of Protection	Back-up Storage Location	Maintenance Process	Maintenance Frequency	Maintenance Owner

### **Facilitator Notes**

Use this section to document operational requirements for communications and technology.

### **Key Questions**

• See sections 7.3.3 and 7.3.4.

### **Best Practices**

Keep ID badges and access cards in go-kits. Remind personnel frequently to bring ID badges during any COOP incidents.

## **7.6.4.3 COMMUNICATIONS AND TECHNOLOGY**

**This section identifies the communications requirements for the plan. For each mechanism, identify the MEFs it supports, who the current service provider is, any technical specifications and/or limitations, alternate providers, and other special notes. The minimum activation requirements should include server hardware, end-user equipment, software, and communications equipment. For each of these, the plan should include the activation procedure, dependencies on other technologies/capabilities, and special considerations that need to be understood for the activation to be successful.**

## **7.6.4.4 SECURITY**

**This section identifies the processes needed for the physical security of the facility, to provide for the health, safety, and emotional well-being of personnel, and to protect the confidentiality, integrity, and availability of the information systems.**

## 7.6.4.5 FINANCIAL MANAGEMENT

**The first part of this section should cover the location of standard operating procedures (SOPs) and other documents that detail the abilities and limitations of emergency procurement. The second part of this section should include the process which all personnel must follow to track expenses during the activation.**

## 7.6.4.6 CONTINUITY OF MEETINGS

**This section details how legal requirements related to public meetings will be met during activation. If the impact of the event will be short, it may be possible to simply reschedule for a different day and time. If the impact continues for an extended period, it may be necessary to have a plan for how to conduct this meeting and how to notify the public of the change.**

### Facilitator Notes

Use this section to document financial and administrative requirements that must be met during a COOP incident.

### Key Questions

- What SOPs/guidance exist regarding emergency purchasing? Are those roles and responsibilities delegated/discussed in the plan?
- What meetings are required to occur during implementation of the plan?
- Are other actions (e.g., requests) required to be completed during this time?

### Best Practices

Clearly document expenses including time, services/contracts, and hardware and equipment purchases in case there is a potential for reimbursement. Establish a disaster cost center prior to an incident; allow time codes to be switched to disaster operations.

## 7.6.5 RECONSTITUTION PROCESSES

*This section describes the decision criteria for returning to the original operation, the process for reoccupying the site, and documenting lessons learned and remedial actions needed to improve the plan.*

### Facilitator Notes

The reconstitution process should be the reverse of the activation process. Refer to pages 36-37.

### Key Questions

- What are the criteria to return to normal operations? Who can make this decision?

### Best Practices

Drill the reconstitution process as part of any COOP exercise.

### 7.6.5.1 DECISION-MAKING

**This section parallels 7.6.2.1. This section describes personnel who are authorized to evaluate a situation and make the determination as to the level of emergency that exists and whether the COOP Plan should be de-activated in part or in its entirety.**

## 7.6.5.2 RELOCATION RETURN PROCESS

**This section parallels 7.6.3. and describes the process of leaving the AWS and returning to the primary facility.**

## 7.6.5.3 AFTER ACTION REPORT (AAR) AND REMEDIAL ACTION PLAN

**This section identifies the position responsible for facilitating the AAR and ensuring the action items are reviewed and implemented. This section should also include information about how long after an incident the AAR is to be completed, who participates, and who is accountable for the Remedial Action Plan that follows the AAR.**

### Facilitator Notes

This section should mirror section 7.6.3; refer to page 38.

### Key Questions

- What are the processes and roles and responsibilities of different key personnel and teams when returning to normal operations?
- When does an AAR get scheduled, who is responsible for it and the accompanying remedial action plan?

### Best Practices

Standardize time guidelines for After Action Reports, (e.g., 30 days). Include remedial action plans in AARs.

## 8. PLAN MANAGEMENT

### Facilitator Notes

A COOP Plan is a living document. This section provides the requirements for maintaining the plan and the center's ability to use it.

### Key Questions

- On what cycle is the plan reviewed, revised, trained on, and exercised?
- Who is responsible for developing training and exercises?

### Best Practices

Set calendar reminders for key deadlines to nudge responsible personnel to complete reviews, updates, and audits.

*This section describes how the plan is maintained, by whom, and what training and exercise program is required to sustain readiness.*

### 8.1 PLANNING RESPONSIBILITIES

**This section of the plan identifies the position responsible for the maintenance of the plans and procedures. The table below details the responsibilities associated with the maintenance of the plan.**

Activity	Tasks	Frequency
Plan update and certification		February and August
Maintain orders of succession		As-needed
Checklists		As-needed / annually
Update rosters for all positions		Quarterly
Appoint new members of the COOP team		As-needed
Maintain AWS		Quarterly
Monitor and maintain equipment at alternate sites		Monthly
Train new members		Within 30 calendar days of hire
Orient new policy officials and senior management		Within 30 calendar days of appointment

## 8.2 TESTING, TRAINING, AND EXERCISES

This section of the plan identifies the position responsible for the training and exercises required to support the plan. The table below details the responsibilities associated with being responsible for the training and exercise program.

Requirement	Monthly	Quarterly	Annually	As-Needed
Test alert notifications, and activation procedures				
Test communications equipment				
Confirm vital record currency at all locations				
Test vital records implementation and recovery plans				
Test infrastructure at AWS including power, backup power, heating, ventilation and air conditioning systems, water, and sewer				
Conduct COOP training for all personnel				
Conduct COOP training for COOP Critical Resources				
Conduct COOP Exercise				

### Facilitator Notes

At the conclusion of plan development, outline the long-term vision to sustain and maintain a strong COOP Plan and program.

### Key Questions

See previous page.

### Best Practices

Approach COOP program development on a multi-year horizon. Break down the steps to achieving a desired program end state into a phased plan so work can be accomplished while balancing existing daily operations.

- Use center cleaning time and/or reconfiguration as time to practice COOP training.
- Include Evening and Overnight shifts, not just Day shift.
- Assign task owners in plan Management Table.
- Make training part of career development.
- Make COOP part of a multi-year strategy, aligned to fiscal goals.
- Leverage Statewide Communication Interoperability plan (SCIP) goals to facilitate development of backup centers.

## 8.3 MULTI-YEAR STRATEGY

This section defines the milestones for COOP over a period of time, typically three to five years. COOP Plans and programs can be resource intensive to standup and maintain, and so it is beneficial to consider building the program iteratively.

## 9. APPENDICES

---

### Facilitator Notes

These are recommended Appendices to support plan implementation. Use will vary by PSAP.

### Key Questions

◦ What reference documents should be kept as part of the plan?

### Best Practices

Consider floor plans, pre-set staffing schedules, procedural check-lists, and other critical reference documents to be maintained along with the plan. Include an ICS 205 and ICS 217 in the Appendix.

*This section contains the Appendices associated with this plan.*

*9.1. Electronic Storage of Documents*

*9.2. Contracts and Agreements*

*9.3. Major Projects and Plans*

*9.4. Signed Work Orders, Statements of Work, etc.*

*9.5. Procedures and Checklists*

*9.6. Mission Essential Functions (MEF) and Essential Supporting*

*Activities (ESA) (See table on following slide)*

*9.7. Alternate Work Site (AWS) Floor Plan*

*9.8. Roster and Contact Information*

*Emergency Contact Information*

*Key Leadership Contact Information*

*Stakeholder Contact Information*

*Media Outlets*

*9.9. Key Vendors and Support Resources*

*9.10. Delegations of Authority*

*9.11. Memorandums Of Understanding (MOUs)/Memorandums Of Agreement (MOAs)*

*9.12. ICS 205*

*9.13. ICS 217*

## 9.6 MISSION ESSENTIAL FUNCTIONS (MEFS) TABLE

Mission Essential Function	Recovery Time Objective	Function Owner		
	60 Min	PSAP Director		
Required Staff				
Department	Position	Quantity	Telework?	
Emergency Communications	911 Emergency Communications Officers	3 per shift	No	
Emergency Communications	911 Emergency Communications Supervisor	1 per shift	No	
Emergency Communications	911 Emergency Communications Manager	1	Yes	
Required Resources				
Server Hardware				
End User Equipment				
Software				
Communications				
Other				
Special Considerations				
Work Location and Space Requirements				
Essential Supporting Activities				
Interdependencies				
Expected Costs				
Manual Workaround				
Dispatching				

### Facilitator Notes

Use this section to develop the core of the plan: the MEF. This section allows the planning team to define the details of all MEFs including the staff, resource, and space requirements along with supporting activities, costs expected, and last ditch workarounds for catastrophic failures. Completing this section FIRST may assist the team in pulling information through the rest of the plan.