

COOP

CONTINUITY OF OPERATIONS PLAN

2023

Instructions to Use this Template

This template provides a starting point to create a Continuity of Operations Plan (COOP) at the department or agency level. The sections in this template are recommended based on a review of plans across the county 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 Official Use Only, Government Sensitive Information).

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

[NAME]

[TITLE] [OFFICE; DEPT/AGENCY]

[PHONE] [EMAIL]

2. Statement of Confidentiality

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 / Rational of Changes Implemented	Change Owner (Name/Title)
1				
2				
3				
4				
5				
6				
7				

4. Record of Distribution

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.

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.

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.

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 or 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 Plan 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.

6. Planning Scenarios and Assumptions

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

6.3. Assumptions

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.

7.1. Leadership and Command and Control

7.1.1. Delegations of Authority

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 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 the 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

7.1.3. 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

Situation or Decision	Information Requirement	Recipient List	Collection Owner	Frequency Needed	Immediate Reporting Threshold

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 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.

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 the size of PSAP staff. Plan to be flexible in general.

Position	General Responsibilities
Director	
Deputy Director	

Individual Role	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 Operations				
Phase IV - Reconstitution				

7.2.3. Staff Augmentation and Mutual Aid

The 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].

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

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.

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.

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.

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.”

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.

7.4. Communications

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	Secure Voice	Network	Conferencing	Data Storage File Exchange
PRIMARY	LMR	NIPRNet (AES)	MS Teams	MS Teams
ALTERNATE	NIPR VoIP Cellular			
CONTINGENCY	Tactical VHF			
EMERGENCY	Tactical HF/UHF/ TACSAT			

7.4.2. Employee Communications

This section includes the plan for how information will be 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

7.4.3. 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.

7.4.4. Media Communications

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 31 for a detailed chart that provides the rationale for the program (not the document) and explains its importance to the center.

7.5.1. Disruption Less than One Day

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
<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>Dispatch Law Enforcement, Fire, and/or EMS</i>	<i>Emergency Communications</i>		
<i>Maintain operational availability of mission critical systems including Computer Aided Dispatch (CAD), Emergency Telephone Systems, Land Mobile Radio (LMR) System, etc.</i>	<i>Information Technology Services</i>		
<i>Protect the integrity of the physical security of primary 9-1-1 center and alternate work sites</i>	<i>Law Enforcement Agency</i>		
<i>Different control points are in charge of different things</i>	<i>Law Enforcement Agency</i>		

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
<i>Timekeeping and Payroll</i>	<i>Human Resources</i>		<i>X</i>

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).

Mission 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	

7.5.4. Assignment of Recovery Time Objectives

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.

Mission 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>> 30 min</i>

7.6. Operational Phases and Implementation

7.6.1. Preparation

This section details the steps the 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

7.6.1.2. 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>

7.6.1.3. Personal and Family Preparedness

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

7.6.1.4. Preventive Maintenance

This section describes all items that need regular maintenance and inspection. The prepositioned equipment and drive-away kits all contain items that need to be checked for serviceability on a regular basis. Cached laptops, networking equipment, radios, and other electronic equipment will need to be updated periodically and tested to ensure they still work. The maintenance tasks should be assigned an owner and a frequency for inspection.

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	

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 actions. 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. The Plan of Action lists the immediate 3-4 steps the decision-maker should take.

Threat Level	Threat Condition Criteria	Plan of Action

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

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.

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 Initial 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.

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

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.

7.6.5. Reconstitution Procedures

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.

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.

8. Plan Management

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				

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

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 page]*
- 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		
Dispatching	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			