

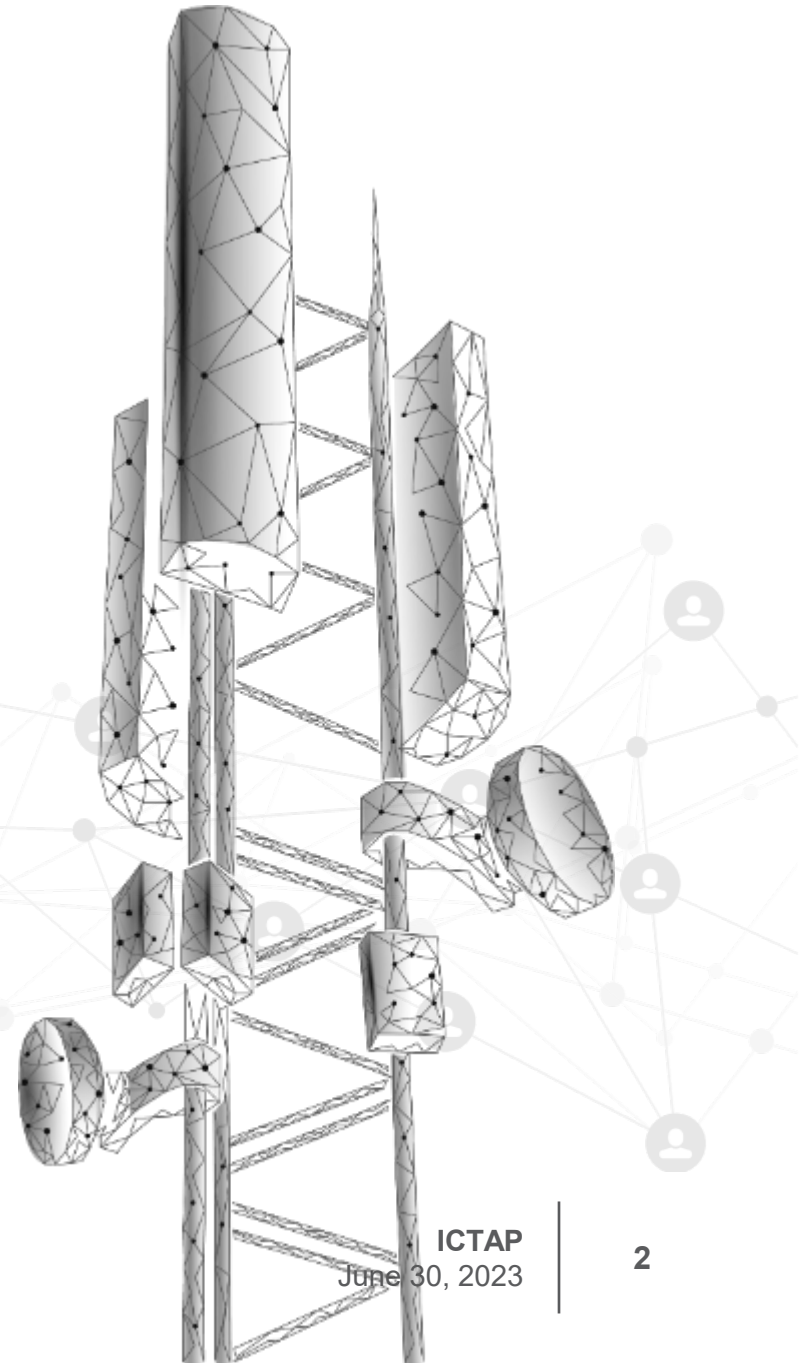
CONTINUITY OF OPERATIONS FOR COMMUNICATIONS CENTERS

PSAP COOP Webinar
June 28, 2023
Glen Klaich, Presenter



Welcome

- Jim Stromberg, Emergency Communications Coordinator (ECC) with CISA's Integrated Operations Division
- Jessica Jimenez, NextGen9-1-1 Program Manager, Wisconsin Office of Emergency Communications
- Glen Klaich, Project Manager supporting CISA's Emergency Communications Division through ICTAP

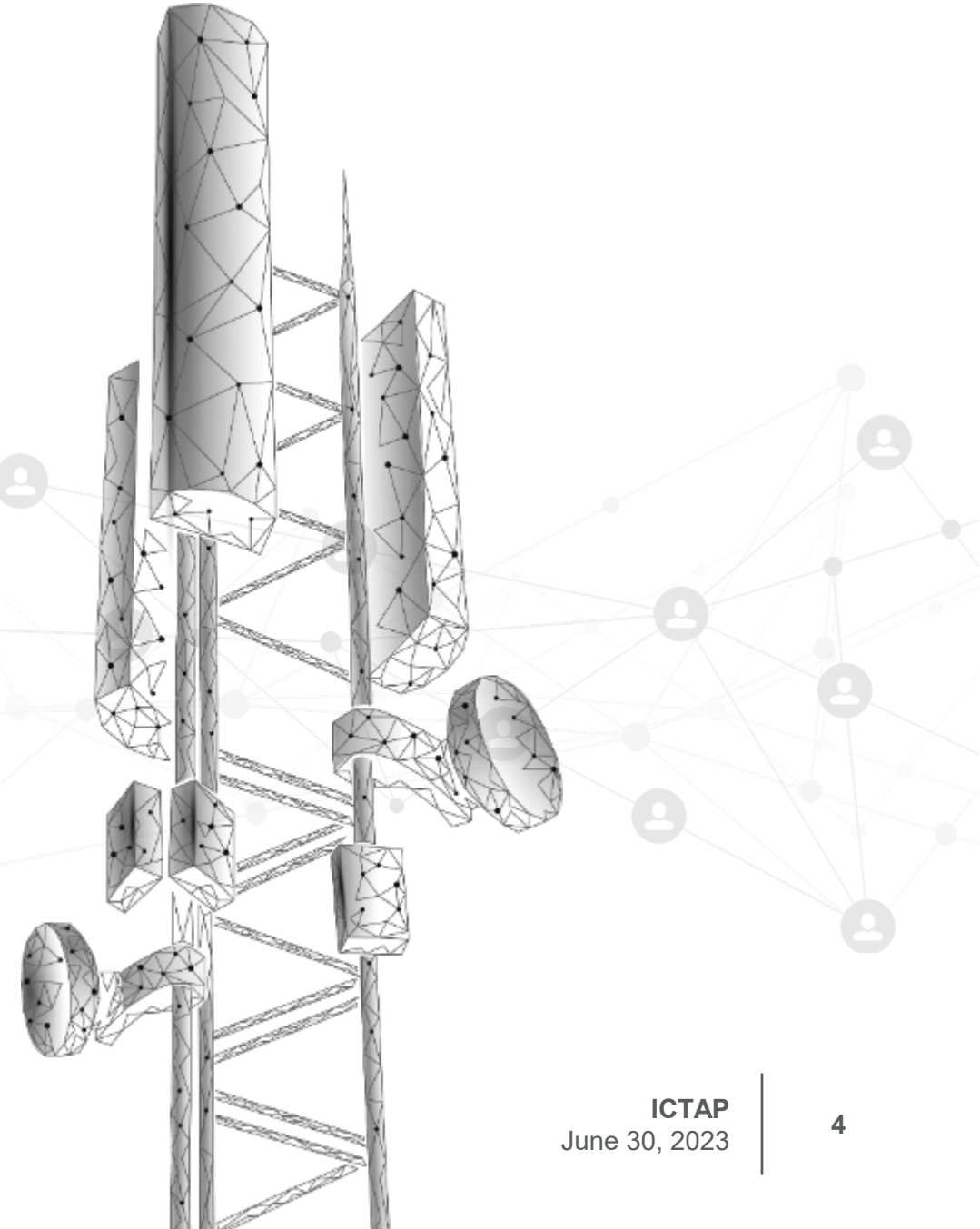


Project Overview

- Develop a standardized COOP template to assist PSAPs in maintaining grant eligibility
- Build a collaborative network with other communications leaders across the state
- Leverage existing plans to strengthen WI's communications resiliency

Project Goal

Prepare you to facilitate the development of COOP for communications centers and Public Safety Answering Points (PSAPs) across Wisconsin.



Workshop Objectives



**Prepare you to facilitate
planning efforts with
PSAPs across WI**



**Strengthen your
understanding of COOP
principles**



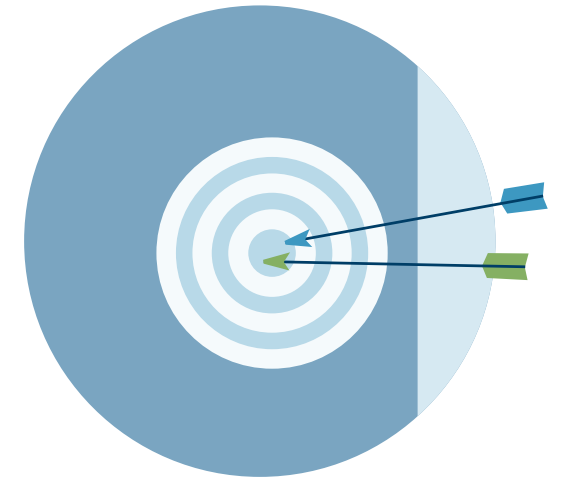
**Share a COOP
template and approach
to planning**

BASICS OF CONTINUITY PLANNING



Section Objectives

1. Understand the objectives associated with a COOP plan
2. Define the typical requirements for a COOP plan
3. Review the main concepts in a COOP plan



COOP Plan Objectives

- Ensure continued execution of mission essential functions
- Reduce loss of life, minimize damage
- Protect essential assets and information
- Provide succession plan for key leadership positions
- Reduce/mitigate disruption to operations
- Plan for a timely and effective recovery



COOP Requirements



- Able to be activated at any time
- Provide for the phased restoration of operations
- Sustain operations for as long as necessary
- Include regularly scheduled training and exercises

Elements of a Successful COOP Plan



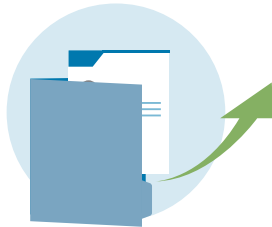
**Involve all departments
in the plan**



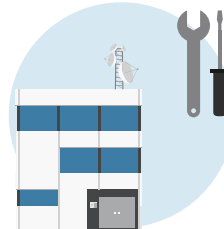
**Provide an opportunity for some
of the personnel to review
the plan and provide input**



**Provide awareness training
to all personnel annually and role specific
training (or possibly mentoring) to those
in the lines of succession or key positions**



**Conduct exercises annually to test
the plan and the knowledge of the
personnel about how the plan works**



**Preventative maintenance program
for the alternate work locations,
pre-staged equipment, etc.**



**A plan for maturing and improving
the plan iteratively over time**

Key Terms

- Devolution
- Reconstitution
- Legal Authorities and References
- Mission Essential Functions
- Delegations of Authority
- Orders of Succession
- Vital Records and Critical Applications

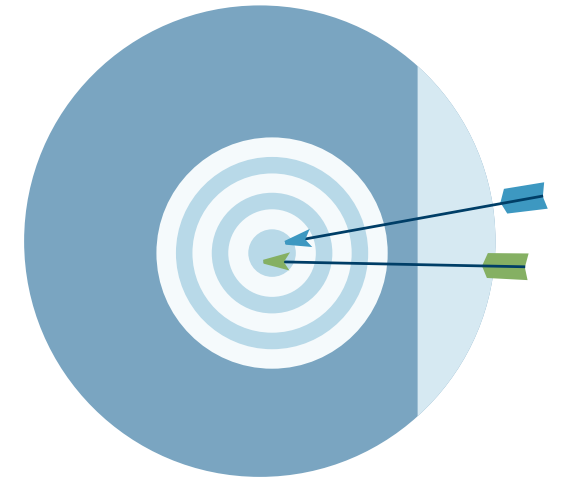
The capability to transfer essential functions and statutory and/or leadership on behalf of another expressed by any authority to another person or position. This is often done to ensure continuity of operations during a transition or to maintain operations during a threat or disruption. This is often done by a senior leader or a senior leadership position when needed to ensure continuity of operations. References: A legal citation that identifies the source of information used as the basis for the plan's staffing, technology and equipment needs, facilities selection, etc.

COOP TEMPLATE WALK-THROUGH



Section Objectives

1. Review the main sections and content in a COOP plan
2. Learn key questions to elicit information for each section of the plan



Introduction and Purpose

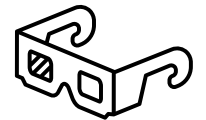
- Supersedes
- Authorities and References
- Applicability and Scope
- Linkages and Dependencies

Planning Scenarios and Assumptions

- Threat and Hazard Identification and Risk Assessment (THIRA)
- Planning Scenarios
- Assumptions

Concept of Operations

- Leadership, Command, and Control
- Personnel
- Alternate Work Site
- Communications Plan
- Mission Essential Functions and Essential Supporting Activities



Leadership, Command, and Control

- Delegations of Authority – identifies the types of authorities that are important to the plan
- Orders of Succession – identifies replacements to key personnel and recipients of the authorities being delegated
- Critical Information Requirements – details the decision that need to be made over the course of the plan and the information needed to make those decisions
- Devolution – the plan for transferring all authorities should the center no longer be viable

Personnel

- Key Personnel –includes the roles identified in the previous section along with any other roles crucial to the plan
- COOP Teams –defines the different teams needed to execute the different processes when required
- Roles and Responsibilities – assigns responsibilities to ensure everyone knows what is expected of them and to aid in prioritizing efforts

Personnel Cont.

- Staff Augmentation – documents requirements for filling positions using outsourced labor
- Mutual Aid –identifies the position(s), requirements, and potential mutual aid partners which can provide the extra staffing, especially important for positions with specific requirements to fill them
- Transportation, Food, and Lodging – includes policies for how staff will be relocated, fed, and housed during activation

Alternate Work Site

- Location Details – describes the site and its capabilities
- Space Configuration – describes how the spaces should be arranged
- Communications and Technology – itemization of the existing capabilities at the site and the additional capabilities available upon request
- Site Security – describes the capabilities available to maintain and secure the operating environment
- Site Logistics Capabilities – details the capabilities for receiving shipments of equipment

Communications Plan

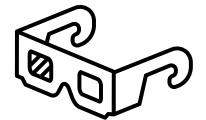
- Management Communications – describes the mechanisms for maintaining communications among the leadership team
- Employee Communications – identifies the communication pathways and the messages that will be provided to staff
- Vendor Communications – defines the level of transparency to be shared with vendors and any requirements before information is provided
- Media Communications – provides guidance to the PIO regarding the release of information, and to employees if they are engaged by the press

Mission Essential Functions and Essential Supporting Activities

- Mission Essential Functions (MEF) – the activities that are required to fulfill the chartered mission of the department or agency
- Essential Supporting Activities (ESA) – the activities that are required to support the ongoing fulfillment of the MEFs
- Recovery Time Objectives – the maxim amount of time for a MEF or ESA to be restored to an operational state

Operational Phases and Implementation

- Preparation
- Activation and Relocation
- Continuity Operations
- Reconstitution Process
- Plan Management
- Appendices



Preparation

- Prepositioning Resources – a cache of mission critical equipment in a location away from the center
- Drive-Away Kits or Go-Kits—kits with printed copies of the COOP and other important SOPs, processes, etc., along with contact lists, maps, and supplies for the advance team to take as they initiate the relocation process
- Personal and Family Preparedness – personnel need to take their own measures to prepare for an activation
- Preventive Maintenance – the kits and caches of equipment need to be maintained and tested for serviceability on a regular basis

Activation and Relocation

- Decision Making and Initial Actions – provides guidance on how to make the decision to activate the COOP Plan and whether to initiate a full or partial activation
- Alerts and Notifications – identifies the notification details, the recipients, and the person responsible for sending the alerts
- Relocation Process – provides the process for moving all personnel to their assigned AWS, opening the operation, and accounting for the status of all people while in transit

Continuity Operations

- Mission Critical Systems – Each Mission Essential Function will require IT infrastructure, databases, specialized equipment that needs to be documented
- Vital Records and Databases – The records that must be maintained should be identified and a plan set in motion to preserve them
- Communications and Technology – The minimum activation requirements that must be met should be documented along with any special considerations

Continuity Operations Cont.

- Security – identifies the processes required for protecting the health, safety, and emotional well-being of the staff and protecting the confidentiality, integrity, and availability of information systems
- Financial Management – includes references to SOPs related to emergency procurement, expense tracking, and other finance related activities
- Continuity of Meetings – documents any meetings that are statutorily required and describes either the process for suspending them or a plan for conducting the meetings while the plan is active

Reconstitution Process

- Decision Making – provides the criteria that must be met before the operation will be migrated back to the primary work site/returned to normal
- Relocation Process –set of processes and procedures for reopening the primary work site and migrating the operation back from the AWS
- After Action Review – describes the process for conducting an AAR and collecting lessons learned
- Remedial Action Plan – identifies the process for using the AAR to identify required changes to the plan and to track the status of the updates to completion

Plan Management

- Planning responsibilities
- Testing, training, and exercises
- Multi-year strategy

Resources

- FEMA EMI [IS-1300 Introduction to Continuity of Operations](#)
- NENA [Continuity of Operations Plans for PSAPs](#)
- APCO [Emergency Communications Center Crisis Response Taskforce](#)

Wisconsin is Leading the Way



Wisconsin COOP Facilitator Guide

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:

[PSAP Director/Continuity Manager Name]
[TITLE] [OFFICE; DEPT/AGENCY]
[PHONE] [E-MAIL]

[Alternate Continuity Plan Manager Name]
[TITLE] [OFFICE; DEPT/AGENCY]
[PHONE] [E-MAIL]

Wisconsin COOP Facilitator Guide, cont.

2. STATEMENT OF CONFIDENTIALITY

This plan should be considered sensitive information and may be 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. PII can be removed. Check with your legal counsel to get further guidance on the appropriate document restrictions. 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’.”

Wisconsin COOP Facilitator Guide, cont.

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				

Wisconsin COOP Facilitator Guide, cont.

5.4 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 Mission Essential Function and Primary Mission Essential Function Identification and Submission Process, 2017.*

Wisconsin COOP Facilitator Guide, cont.

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.

7.1.1 DISRUPTION LESS THAN ONE DAY

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

Function	Department Responsibility	MEF	ESA
<i>Answer 9-1-1 calls and texts received from landline and wireless callers requesting Law Enforcement, Fire, and/or Emergency Medical Services</i>	<i>Emergency Communications</i>	<i>X</i>	
<i>Dispatch Law Enforcement, Fire, and/or EMS</i>	<i>Information Technology Services</i>	<i>X</i>	
<i>Maintain operational availability of mission critical systems including Computer Aided Dispatch, Emergency Telephone Systems, Land Mobile Radio System, etc.</i>	<i>Law Enforcement Agency</i>	<i>X</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>X</i>	
<i>Different Control Points are in charge of different things</i>	<i>Law Enforcement Agency</i>	<i>X</i>	

Wisconsin COOP Facilitator Guide, cont.

7.3.1 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 don't have the staff to assign to the roles, switch the approach based on size of PSAP staff. Plan to be flexible in general.

***NOTE:** Details in this section are required for applicant eligibility under the Chapter DMA 2 PSAP Grant Program

Position	General Responsibilities	
Director		
Deputy Director		
Individual Roles	Assignee	Function Description
Continuity Site Operations Manager		Accountable for all continuity operations
Reconstitution Coordinator		Leads planning and implementation of reconstitution
Alternate Work Site Coordinator		Leads setup and preliminary operations at alternate work site
Critical Systems Manager		Responsible for ensuring critical systems are operational
Essential Records Manager		Responsible for documentation and record-keeping

Wisconsin COOP Facilitator Guide, cont.

7.3.2 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 life cycle.

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

Wisconsin COOP Facilitator Guide, cont.

7.3.3 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 and/or reduce services. 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 TERT (Telecommunicator Emergency Response Teams) teams filling in for telecommunicators].

Severity of Impact	Primary Source	Secondary Source
Normal Operation (0-25% of FTE are unable to work)	Mandatory overtime; Part-time/reserve staff	MOUs/MOAs with neighboring jurisdictions
Degraded Operation (26-50% of FTE are unable to work)	MOUs/MOAs with neighboring jurisdictions	State
Impaired Operation (51-75% of FTE are unable to work)	State	Regional TERT
Limited Operation (76-100% of FTE are unable to work)	Regional TERT	

Wisconsin COOP Facilitator Guide, cont.

7.3.4 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.

Wisconsin COOP Facilitator Guide, cont.

7.4 ALTERNATE WORK SITE REQUIREMENTS

7.4.1 LOCATION

This section lists the address and point of contact for each site. It's 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, including virtual operations, 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.

***NOTE:** Details in this section are required for applicant eligibility under the Chapter DMA 2 PSAP Grant Program

Site	Type of Site (Temporary vs. Permanent)	Max Staff Capacity	Hot, Warm, Cold	Key Limitations
<i>Virtual</i>	<i>Temporary</i>	<i>N/A</i>	<i>Warm</i>	<i>Bandwidth, VPN required</i>

Wisconsin COOP Facilitator Guide, cont.

7.6 COMMUNICATIONS

7.6.1 ALERTS AND NOTIFICATIONS

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 7.6.3 and 7.6.4 This will be more detailed for state/regional PSAPs but less detailed for small PSAPs.

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

Wisconsin COOP Facilitator Guide, cont.

7.6.2 PRIMARY, ALTERNATE, CONTINGENCY, AND EMERGENCY (PACE) PLAN

This section describes how critical information will reach key decision makers and how critical notification pathways will be maintained during a disruption of communications. PACE is used to identify alternatives for communicating and sharing information in a manner of first, second, third, and final options. If special devices are required (e.g., satellite phones), the plan should identify how these are obtained.

***NOTE:** Details in this section are required for applicant eligibility under the Chapter DMA 2 PSAP Grant Program

Communications	Voice	Network	Conferencing	Data Store File Exchange
Primary				
Alternate				
Contingency				
Emergency				

Wisconsin COOP Facilitator Guide, cont.

7.7.3 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 alternate work site (AWS).

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

Wisconsin COOP Facilitator Guide, cont.

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.

***NOTE:** Details in this section are required for applicant eligibility under the Chapter DMA 2 PSAP Grant Program

Requirement	Monthly	Quarterly	Annually	As-Needed
Test alert, notification, and activation procedures		X		
Test communications equipment		X		
Confirm vital record currency at all locations	X			

Wisconsin COOP Facilitator Guide, cont.

9. APPENDICES

This section contains the Appendices associated with this plan.

9.1 Electronic Storage of Documents

9.2 Contracts and Agreements [With procurement vendors, etc.]

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)

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

