



P S A P
PUBLIC SAFETY
ANSWERING POINT

Wisconsin Continuity of Operations (COOP)

FACILITATOR GUIDE | 23

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HOW TO USE THIS GUIDE

This guide facilitates the Continuity of Operations Plan (COOP) development process at the agency or department level. It provides guidance on the elements that should be included in the different sections of the plan, and how to complete them. Each section contains guidance about its purpose. Some sections 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 with drafting content and is to be updated or replaced as a part of the plan completion process.

Tips for Getting Started:

Go section by section, gathering and documenting the information required to complete it (for a list of additional materials that will be required for completion, reference 9.0 - Appendices on page 53). Pay attention to the Facilitator Notes, Key Questions and Best Practices banners on each page, as they will further assist you in the planning process. If you do not have the required information readily available, how will you source it, and who needs to be involved in that process? Remember, the facilitation and development process can be equally as important as the final product itself – it helps identify gaps and provides an opportunity to make sure that all those who have a role to play in execution are aware and prepared.

HOW TO USE THE COOP TEMPLATE

LINK TO TEMPLATE: https://oec.wi.gov/wp-content/library/2023/WI%20PSAP%20COOP%20Plan%20Template_FINAL.docx

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 Official Use Only, Government Sensitive Information).

Sections 1–6	Focus on plan development and detail assumptions, requirements, details related to the activities directed; these sections provide context for future updates
Section 7	Focuses on operations and is the primary reference during an activation
Section 8	Focuses on maintenance of the plan and overall COOP program
Section 9	List of appendices

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.

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]

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.”

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.

3. RECORD OF CHANGES

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.

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
Center Director	Electronic
Continuity Plan Manager	Both
Shift Supervisors	Both

Location Distribution	
Location	Format
Policy Library	Printed
Drive-Away Kit #1	Both
Drive-Away Kit #2	Both

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.

5. INTRODUCTION AND PURPOSE

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.

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. Continuity of Operations Plans (COOP) ensure that center operations are quickly and efficiently resumed during an emergency.

5.1 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.*

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.

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.

5.2 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 (e.g., 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. Continuity of Operation Plans (COOP) 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.*

5.3 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 Continuity of Operation Plan (COOP) 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.

5.4 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.*

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.*
- *Wisconsin Administrative Code, Chapter DMA § 2.04 (8), effective July 1, 2022 (https://docs.legis.wisconsin.gov/code/admin_code/dma/2/04/8).*

Facilitator Notes

Use this section to document applicable legal authorities and reference documents used to develop the plan.

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.

Facilitator Notes

Use this section to document other plans that this plan relies on or is referenced within. Continuity of Government (COG) refers to coordinated efforts within the different branches of government to ensure essential functions continue to be performed before, during, and after an emergency or threat. COG preserves the statutory and constitutional authority of elected officials, whereas Continuity of Operations refers to the efforts individual organizations undertake to ensure essential functions continue during disruptions of typical operations.

Key Questions

- What plans support or are directly referenced in this plan?
- Is this plan referenced in other plans?
- How does this plan align to jurisdiction plans including broader COOP 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.

5.5 OTHER ASSOCIATED AND DEPENDENT PLANS

This section lists plans the COOP is dependent on or needs to align with, including other documents that are used in conjunction with the COOP. This may include plans such as Emergency Operations Plans (EOP), 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 to restore operations”)]

Evacuation Plan

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

Emergency Operations Plans (EOP)

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

Local Continuity of Government Plan (COG)

[Describe the nature of the association (e.g., “the COOP is part of a larger Continuity of Government Plan that defines how [x jurisdiction] will respond to a major emergency that disrupts the government’s ability to function”)]

***Note: Memorandums of Understanding (MOUs) can be found in the Appendix - Section 9.11 MOUs/MOAs**

6. PLANNING SCENARIOS AND ASSUMPTIONS

This section defines planning scenarios the team may use to assist in creating an effective plan. Work with your local Emergency Management Agency (EMA) to identify applicable threats. These scenarios can become use cases later to test if the plan meets all expected needs. Examples of incidents that resulted in COOP actions within Wisconsin include: severe weather, including winter weather, flooding, and ice, cyber attack, and civil unrest.

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...].

Facilitator Notes

Planning assumptions are foundational to plan development. There are two dominant approaches to 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 continuity of operations. Be flexible and make staffing applicable to the current situation.

Facilitator Notes

Assumptions are part of defining the boundaries of a 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).

Use this section to describe the scenarios determined most likely to impact the center along with other planning scenarios that may be situation specific, i.e., cyber incidents.

Key Questions

- What things are we 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 the threats and planning scenarios remain up to date.

6.1 ASSUMPTIONS

It is not possible to document every detail of every contingency possible. Assumptions must be made to enable the development of the plan without it growing to the point that it becomes unusable. It is helpful to begin by including fundamental assumptions like “essential functions can be restored,” or “mutual aid support can be received.” Then, during the development process, the facilitator should pay special attention to additional assumptions being made by the work group as decisions are made. These items should also be documented in this section along with the context of the decisions they influenced.

- **The backup PSAP is _____ and calls are automatically forwarded. The backup PSAP will take our calls.**

6.2 PLANNING SCENARIOS

Planning scenarios help to 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. Connect with your local emergency manager when determining the planning scenarios.

Three useful scenarios include: 1) Ransom ware or cyber attack; 2) Natural disaster; and 3) Emergency evacuation of facility

6.3 CLASSIFICATION OF EMERGENCIES

The purpose of this section is to assist the decision-maker referenced in 7.2.4 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 Actions lists the immediate 3-4 steps the decision-maker should take.

Threat Level	Threat Condition Criteria	Plan of Actions
<i>Low</i>	<i>No known emergency or impending incident</i>	<i>Operations normal/no additional actions required</i>

Facilitator Notes

Use this section to describe how personnel are notified of a COOP incident.

Key Questions

° What conditions need to be present to determine if something is an emergency?

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 appendix.

Checklists can support the guide and may describe who is to be notified, and how, i.e., mayor, law enforcement, Fire, EMS. Include confirmation pathways to ensure notifications have been received.

7. CONCEPT OF OPERATIONS (CONOPS)

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 ESAs FIRST (Turn to page 19).

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 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.

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 22 for a detailed MEF chart that assists with completing this section.

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>	X	
<i>Dispatch Law Enforcement, Fire, and/or EMS</i>	<i>Information Technology Services</i>	X	
<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>	X	
<i>Protect the integrity of the physical security of primary 9-1-1 center and alternate work sites</i>	<i>Law Enforcement Agency</i>	X	
<i>Different Control Points are in charge of different things</i>	<i>Law Enforcement Agency</i>	X	

7.1.2 DISRUPTION 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.

Function	Department Responsibility	MEF	ESA
<i>Timekeeping and Payroll</i>	<i>Human Resources</i>		X

7.1.3 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, for example, legal reporting.

Function	Department Responsibility	MEF	ESA
Timekeeping and Payroll	Human Resources		X
Publicly Available Reporting	Center	X	

Facilitator 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 Target (RTT) should be used as a guideline to establish a relative priority set from within the MEFs. RTTs define for vendors and outside IT providers the tolerable amount of downtime in a system.

Circuit restoration services are available through CISA PTS. Information regarding CISA PTS can be accessed here: <https://www.cisa.gov/resources-tools/programs/priority-telecommunications-services>

7.1.4 ASSIGNMENT OF RECOVERY TIME TARGETS

The MEFs should be assigned recovery time targets. This is the maximum time that an outage can be tolerated. All dependencies of the MEF will inherit its RTT. 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 6.3.

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

7.1.5 MISSION ESSENTIAL FUNCTIONS TABLE

Facilitator Notes

Use this section to develop the core of the plan: the Mission Essential Functions. 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 work around for catastrophic failures. Completing this section FIRST may assist the team in pulling information through the rest of the plan.

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			

7.2 LEADERSHIP COMMAND AND CONTROL

7.2.1 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, etc., are all equally important to the activation.

Authority	Position Holding Authority	Triggering Conditions	Limitations to Delegated Authority	Recipient
Assignment of Personnel	Director	Director is unavailable	Limited to next 24 hours of operation	On Duty Supervisor

Facilitator Notes

There are two types of delegations of authorities. Responsibilities assigned by regulation or statute require formal delegations documenting the circumstances when authority is passed, and exactly which responsibilities are being delegated and which are being withheld. The second type is the responsibility assigned to a person's role or position in the organization. The delegations of authority should reflect any scope limitations of the plan.

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.

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, a number of data-driven decisions will need to be made 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

- 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

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

7.2.2 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 as well as all those associated with fulfilling the mission essential functions/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

7.2.3 CRITICAL INFORMATION REQUIREMENTS

This section documents key decisions to be made, the frequency, and the critical information needed to make a sound choice. Common decisions 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 Requirements	Recipient List	Collection Owner	Frequency Needed
<i>Reconstitute Operations</i>	<i>1. Safety and accessibility of primary facility 2. Availability of staff 3. Power availability/reliability 4. Functionality of call delivery</i>	<i>Executive Team</i>	<i>Continuity Manager</i>	<i>Daily</i>

Facilitator Notes

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

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

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

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.

7.2.4 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 7.4.1) and hours of operation.

Level	Decision/Status	Initial Actions
1	Normal Operations	
2	Atypical Operations	
3	Partial Evacuation	
4	Full Evacuation	

7.2.4.1 RELOCATION

This section should include the details regarding the process of leaving the facility to some other destination. The plan should direct the Advance Team (Section 7.3.1/7.3.2) 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 Personally-Owned Vehicles (POV) 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. Some of the information in Section 7.3.1 and 7.3.2 may be referenced when creating this section.

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.

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 Missions Essential Functions is essential for developing this section.

7.2.4.2 DEVOLUTION

This section may not apply to all communities. 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 mission essential functions) and decision authority. This section should also include the successor agency that will assume these responsibilities should this occur.

IMPORTANT: The laws regarding devolution may limit the circumstances under which this decision can be made. It may also limit options for successor agencies.

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 7.2.2 of this plan.

Effective immediately upon this determination, all authorities and essential functions shall be transferred to [Successor Agency]. The Successor Agency should be part of the conversation. 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.

7.3 PERSONNEL

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

Facilitator Notes

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

Team	Leader	Members	Function Description
Executive Team			Decision-makers with legal and operational authority
Emergency Relocation Team			Leaders responsible for initiating and managing the immediate relocation function
Advance Team			Initial small group that transitions operations to the alternate work site
Alternate Site Team			Team that operates from the alternate work site
IT Support Team			IT team dedicated to the alternate site

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.

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

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				

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].

Facilitator Notes

This section should make clear how operational staffing needs will be met if an incident directly impacts staff members. Staffing roster information can be found in Appendix 9.8 - Roster and Contact Information.

Key Questions

° See previous page.

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

Critical Position	Essential Skills / Certifications	Potential Source
<i>Director</i>	• Center Manager Certification Program (CMCP) • Emergency Number Professional (ENP) • Registered Public-Safety Leader (RPL)	• National Emergency Number Association (NENA) • NENA • Association of Public Safety Communications Officers (APCO)
<i>Telecommunicators</i>	• Emergency Medical Dispatcher (EMD) • Emergency Police Dispatcher (EPD) • Emergency Fire Dispatcher (EFD) • Public Safety Telecommunicator • Telecommunicator Core Competencies	• International Academies of Emergency Dispatch (IAED) • IAED • IAED • APCO • NENA

7.3.4 MENTAL HEALTH AND EMPLOYEE SUPPORT

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. For more information see: "The 9-1-1 Leaders' Post Tragedy Care Checklist: Step-by-Step Guidance to Lead Your Team through the Aftermath of High Impact Events", NENA.

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.

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

Facilitator Notes

Use this section to document the requirements of the alternate work site. If virtual operations are possible, they should be defined as an alternate work site.

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 alternate work site.

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>

Facilitator Notes

Use this section to document the desired floor plan and layout for the alternate worksite.

Key Questions

- ° What are minimum space requirements to sustain operations?

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.

7.4.2 SPACE CONFIGURATION

This section includes a reference to the floor plans which can be described or drawn here and/or placed in Appendix 9.7 - Alternate Work Site Floor Plan 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.”

7.4.3 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.

7.4.3.1 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. This section may refer to existing disaster recovery plans for individual systems that are maintained by outside vendors. For example, for the MEF “answer 9-1-1 calls” the essential equipment may include the call handling equipment which has an RTT of 6 hours and requires the SIP trunk to the carrier, the PBX, and the call processing servers X, Y, and Z. This MEF also requires GIS which has an RTT of 4 hours and requires access to the enterprise network and the GIS server cluster.

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

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

Facilitator Notes

Use this section to document how continuity operations occur and the systems required to support them.

Key Questions

- What are the technical requirements for the alternate site? What assistance is required to activate and support required tech?
- What systems are critical to sustained operations?
- Should mission critical functions, like communications & technology sections, merge or stay separate?

Best Practices

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.

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

Facilitator Notes

Use this section to explain how 9-1-1 calls will be routed during disruptions of service.

Key Questions

- Where will calls be transferred and is the receiving PSAP aware of their role in our plan?
- If required, are MOUs/MOAs up to date?

Best Practices

Include receiving PSAP(s) in the planning process so that they are aware of their roles and responsibilities. Ensure the plan includes copies of up to date MOUs/MOAs.

Sample MOUs are located in the Appendix – Section 9.11.

7.4.3.2 CALL ROUTING

This section should describe a clear 9-1-1 call routing plan for significant disruption and failure scenarios. It is essential that the receiving PSAP(s) are aware of and acknowledge their role in maintaining 9-1-1 services for the duration of the COOP activation. If MOUs/MOAs exist, include them in Appendix 9.11. For PSAPs implementing NextGen9-1-1 services or operating on a NextGen9-1-1 system, alternate and abandonment routes should be identified and pre-configured with the Emergency Services IP-based Network (ESInet) provider.

7.4.3.3 VITAL RECORDS AND DATABASE

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 hard copy, 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. It should also include 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., hard copy, 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

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.

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

See sections

Best Practices

Consider working 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 MOUs/MOAs.

For shorter 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.

7.4.4 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.

7.4.5 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. Criminal Justice Information Services (CJIS) requirements should be considered.

Key questions to consider:

- Are there security concerns with the alternate site and do they differ depending on the planning scenario?
- What constitutes a secure site i.e., use dual authentication, locked room, etc.?

7.5 ADMINISTRATIVE REQUIREMENTS

7.5.1 FINANCIAL MANAGEMENT

The first part of this section should cover the location of standard operating procedures 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.

7.5.2 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., FOIA 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.

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

- How are personnel notified of a COOP event?
- Are there pre-scripted messages for designated groups?

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.

7.6 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

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				

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.

For additional information, NCSWIC PACE Plan guidance can be found here: https://www.cisa.gov/sites/default/files/2023-05/23_0426_ncswic_PACE-Plan_508.pdf

Facilitator Notes

Use this section to capture any critical details related to management and employee communications.

Key Questions

See previous sections.

Best Practices

Determine how information sharing changes between management and employees. Identify any special considerations or details related to communicating with employees, including all employees not just those on shift.

7.6.3 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.

7.6.4 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/Interactive Voice Response (IVR) announcements**
- **Hotlines**

7.6.5 USER COMMUNICATIONS

This section includes the plan for how information will be passed from the management team to PSAP users (e.g., police, fire, EMS departments). 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.

Facilitator Notes

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

Key Questions

- What communications capabilities are required to reach users? What information can be shared with them?
- What communications capabilities are required to reach critical vendors? What information can be shared with them?

Best Practices

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

7.6.6 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

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 that the appropriate PIO is aware of the COOP 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 knows policies regarding talking to the media, along with social media policies. Identify how media policies may change during a COOP event.

7.6.7 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. The second part of this section should include guidelines for the staff on how to respond to inquiries from the media. They 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.

7.7 PREPAREDNESS ACTIVITIES

7.7.1 PREPARATION

This section describes important steps to take in preparation for a COOP event, including resource inventory and preventative maintenance.

7.7.2 PREPOSITIONED 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

Facilitator Notes

Preparedness is critical to functional COOP deployment. Use this section to review and describe Preparedness activities that support the capabilities described in previous sections.

Key Questions

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

Best Practices

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

See Section 5 of the WI-FOG (https://oec.wi.gov/wp-content/library/2021/WIFOG_2.2_2021_Final.pdf?t=1676058331) for information on how to request resources from Wisconsin Emergency Management (WEM) in the event resources cannot be provided locally. PSAPs are encouraged to add the WEM Duty Officer process to their COOP in the event additional resources must be requested, including COML/COMT, broadband, and cyber response teams. Consider leveraging the WEM Communication Coordination phone call via the State Watch Desk.

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

Ensure drive away kits are considered along with pre-positioned resources and maintained on the same schedule.

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

7.7.4 PREVENTATIVE 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.

Facilitator Notes

Use this section to describe required preventative maintenance on supply caches and go kits.

Key Questions

- o What maintenance needs to be done on that equipment (e.g., updates, software installs, testing/exchanging batteries)?

Best Practices

Ensure there is an annual review of supply caches to refresh and update all items, including conducting preventative maintenance.

Use this sheet to assign technicians to perform the preventative maintenance on a determined cycle. Consider leveraging local amateur radio operators if available to help with testing.

[illegible]

7.7.5 PERSONAL AND FAMILY PREPAREDNESS

Facilitator Notes

Individual personal deployment kits will help personnel be prepared for sustained operations. Use this section to describe expectations for essential personnel related to their individual and family readiness.

Key Questions

- ° Are personnel expected to sustain themselves and if so, for how long?
- ° What guidance is provided to staff on personal and family preparedness?

Best Practices

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

This section describes the steps individuals are expected to take to prepare themselves and their families for an activation. Ready Wisconsin is a good source of information regarding personal and family preparedness: <https://readywisconsin.wi.gov/>.

7.8 RECONSTITUTION ACTIVITIES

This section details the steps that must be taken to reconstitute operations including 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.

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

7.8.1 DECISION-MAKING

This section parallels 7.2.4. 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.

Facilitator Notes

The reconstitution process should be the reverse of the activation process. Refer to pages 26–30.

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.

Facilitator Notes

This section should mirror section 7.2.4.1; refer to page 27.

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 AAR (e.g., 30 days) and include remedial action plans in AARs.

7.8.2 RELOCATION RETURN PROCESS

This section parallels 7.2.4.1 and describes the process of leaving the AWS and returning to the primary facility.

7.8.3 AFTER ACTION REPORT (AAR) AND REMEDIAL ACTION PLAN

This section identifies the position responsible for facilitating the After Action Report (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 being responsible for the maintenance of the plan.

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

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
Review and update supporting MOUs/MOAs		Annually
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
Plan and conduct COOP exercises		March and September

Facilitator Notes

A COOP 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.

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.

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			
Test vital records implementation and recovery plans			X	
Test infrastructure at AWS including power, backup power, HVAC systems, water, and sewer		X		
Maintain caches				X
Conduct COOP training for all personnel			X	
Conduct COOP training for COOP Critical Resources			X	
Conduct COOP Exercise			X	

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 stand-up and maintain, and so it is beneficial to consider building the program iteratively.

9. APPENDICES

This section contains the Appendices associated with this plan.

***NOTE: Details in Appendices 9.8 & 9.12 are required for applicant eligibility under the Chapter DMA 2 PSAP Grant Program**

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

9.9 Key Vendors and Support Resources [Information re: outside agency support]

9.10 Delegations of Authority

9.11 Memorandums of Understanding (MOUs)/Memorandums of Agreement (MOAs) [Agreements between/with other agencies]

- **County to County:** <https://oec.wi.gov/wp-content/library/2023/SAMPLE%20County-County%20PSAP%20back%20up%20MOU.pdf>
- **City to County:** <https://oec.wi.gov/wp-content/library/2023/SAMPLE%20County-City%20PSAP%20back%20up%20MOU.pdf>

9.12 Incident Communications Plan (ICS 205)

9.13 Communications Resource Availability Worksheet (ICS 217)

9.14 Acronyms and Glossary

9.14.1 Acronyms

AAR – After Action Report
AWS – Alternate Work Site
CCTV – Closed Circuit Television
CISA PTS – Cybersecurity & Infrastructure Security Agency Priority Telecommunications Services
CJIS – Criminal Justice Information Services
COG – Continuity of Government
CONOPS – Concept of Operations
COOP – Continuity of Operations Plan
DHS – Department of Homeland Security
EMS – Emergency Medical Services
EOP – Emergency Operations Plan
ESA – Essential Supporting Activities
ETA – Estimated Time of Arrival
FEMA – Federal Emergency Management Agency
FOIA – Freedom of Information Act
FOUO – For Official Use Only
GPS – Global Positioning System
HVAC – Heating Ventilation and Air Conditioning
IPAWS – Integrated Public Alert and Warning System
IVR Announcement – Interactive Voice Response Announcement
LMR – Land Mobile Radio
MEF – Mission Essential Function
MOA – Memorandum of Agreement
MOU – Memorandum of Understanding
MS Teams – Microsoft Teams
NAWAS – National Warning System
NCSCWIC – National Council of Statewide Interoperability Coordinators
PACE – Primary Alternate Contingency Emergency
PII – Personally Identifiable Information
PIO – Public Information Officer
POV – Personal Operating Vehicle
PSAP – Public Safety Answering Point
RTT – Recovery Target Time
SCIP – Statewide Communications Interoperability Plan
SOP – Standard Operating Procedures
TERT – Telecommunicator Emergency Response Teams
VPN – Virtual Private Network
WEM – Wisconsin Emergency Management

9.14.2 Glossary

Continuity of Government (COG): refers to coordinated efforts within the different branches of government to ensure essential functions continue to be performed before, during, and after an emergency or threat. COG preserves the statutory and constitutional authority of elected officials.

Continuity of Operations (COOP): refers to the efforts individual organizations undertake to ensure essential functions continue during disruptions of typical operations.

Disruption vs. Reduction:

- **Disruption:** interruption of service impacting operational capabilities
- **Reduction:** limited or scaled back operational capabilities

Hot/Warm/Cold:

- **Hot:** fully equipped with working utilities. Requires the shortest start-up period as they are usually dedicated spaces.
- **Warm:** partially equipped with some systems/equipment in place. Requires a moderate start-up period.
- **Cold:** not equipped and utilities not working. Requires the longest start-up time as they are usually spaces used for other routine purposes (such as conference rooms, classrooms, etc.)

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.

Use the WIFOG/NIFOG (https://oec.wi.gov/wp-content/library/2021/WIFOG_2.2_2021_Final.pdf?t=1676058331) as reference when filling out the ICS 205 and 217 forms.

9.15 IPAWS/PSAP Checklist (on next page)

The following are a list of considerations for PSAPs that serve as IPAWS Alert Originators. The information contained here relates to multiple different sections of the COOP Plan and should help guide Alert Originator counties in capturing IPAWS related information as a part of their COOP planning process. Each section number refers to the correlating portion of the plan where the function of issuing IPAWS alerts should be considered.

7.1 MISSION ESSENTIAL FUNCTIONS (MEF) AND ESSENTIAL SUPPORTING ACTIVITIES (ESA)

- Any Alert Originator County should consider IPAWS notifications a mission essential function and ensure their COOP Plan addresses all the legal requirements associated with serving as an Alert Originator.
 - As an Alert Originator County, what do you need to consider during the planning process to ensure you are able to issue IPAWS notifications during any disruption of service?
 - Who needs to be involved in this part of the COOP process?
- If your County has nuclear power plant response, how will you maintain required alerting capabilities?

7.2.1 DELEGATIONS OF AUTHORITY

- Anyone who sends or drafts IPAWS messages must take Integrated Public Alert and Warning System (IPAWS) for Alert Originators (ICS 247), which can be found here: <https://training.fema.gov/is/courseoverview.aspx?code=IS-247.b&lang=en>
 - Are these mass notifications related duties accounted for in your chain of delegation as official legal responsibilities?
 - Do those identified as part of this legal chain of delegation have access to the systems they need to in order to fulfill these legal obligations?
 - I.e., If your center's usual cadre of message developers and senders are unavailable, who else can send these messages?

7.2.4 DECISION-MAKING PROCESS AND INITIAL ACTIONS

- What are the trigger points for requesting that the WEM State Duty Officer take over alerting?
 - Consider having State Watch Desk take the duty.

7.2.4.1 RELOCATION

- How will you notify the State Watch Desk that an IPAWS duties handoff is necessary?
- How will you then take back IPAWS duties from the State Watch Desk once reconstitution is possible?

7.2.4.2 DEVOLUTION

- Is the center assuming responsibility during devolution able to take over IPAWS duties? If not, notify the State Watch Desk to assume duty. Describe this process.

7.4.1 LOCATION

- Does your PSAP have NAWAS capability? If so, how will you notify other PSAPs of your COOP Plan activation.
 - Note: it is a requirement that you notify your neighbors without NAWAS capabilities of your COOP Plan activation.

7.4.3 COMMUNICATIONS AND TECHNOLOGY REQUIREMENTS

- Can personnel access IPAWS software away from the main PSAP site?
 - I.e. During a COOP activation, can the required teams/personnel access the IPAWS platform through all systems, such as through phones, laptops, etc.? – Capture this information in the 7.4.3.1 Mission Critical Systems Table
- Consider installing a NAWAS phone circuit at the AWS location.