

Continuity of Operations (COOP) Plan

[Insert Name of Transportation Agency]

[Insert Date]

APPROVALS

This Continuity of Operations (COOP) Plan was prepared by *[insert name of transportation agency]* to develop, implement and maintain a viable COOP capability. This COOP plan complies with applicable internal agency policy, local and state regulations, and supports recommendations provided in the Federal Emergency Management Agency's Federal Preparedness Circular 65. This COOP plan has been distributed internally within the *[insert name of transportation agency]* organization and with external agencies that may be affected by its implementation.

Approved: _____ Date _____

[Title]

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[Title]

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Introduction

The introduction to the COOP plan should explain the importance of COOP planning to the organization. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a COOP capability for the organization.

The [insert name of transportation agency] has operations that must be performed, or rapidly and efficiently resumed, in an emergency. While the impact of an emergency cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities and our mission. To that end, the [insert name of transportation agency] has prepared a Continuity of Operations (COOP) plan.

This COOP plan establishes policy and guidance to ensure the execution of the essential functions for the [insert name of transportation agency] in the event that an emergency at the agency or in its service area threatens or incapacitates operations and/or requires the relocation of selected personnel and functions.

COOP planning is a good business practice and is part of the fundamental mission of all transportation agencies as responsible and reliable public agencies. The changing threat environment and recent emergencies have shifted awareness to the need for COOP capabilities that enable transportation agencies to continue their essential functions across a broad spectrum of emergencies. Also, the potential for terrorist use of weapons of mass destruction (WMD) has emphasized the need to provide a capability that ensures the continuity of essential management and technical functions within the transportation organization.

Purpose

The purpose section should explain why the organization is developing a COOP plan. It should briefly discuss applicable guidance and explain the overall purpose of COOP planning, which is to ensure the continuity of essential functions. Because of today's changing threat environment, this section should state that the COOP plan is designed to address the all hazard threat.

The capability to prepare for, respond to and recover from emergencies affecting [insert name of transportation agency]'s operations is dependent upon the proficiency and well being of its employees and the clarity of its leadership. To ensure the capability to support employees and contractors, system users, emergency responders, local and regional emergency management agencies, and the general public during emergencies, [insert name of transportation agency] has adopted this COOP plan.

This COOP plan describes how [insert name of transportation agency] will sustain the capability to perform essential functions during and after a disruption in internal operations whether caused by severe weather, other natural or man-made disasters, or malevolent attack. This COOP plan ensures that [insert name of transportation agency]:

- has the capability to implement the COOP plan both with and without warning;
- is able to perform essential functions no later than 12 hours after activation of the COOP plan;
- is able to maintain essential functions for up to 30 days;

- includes regularly scheduled testing, training, and exercising of agency personnel, equipment, systems, processes, and procedures used to support the agency during a COOP event;
- provides for a regular risk analysis of current alternate operating facility(ies);
- supports the location of alternate facility(ies) in areas where the ability to initiate, maintain, and terminate continuity operations is maximized;
- supports the identification and documentation of temporary operating procedures which enable the performance of essential functions; and
- promotes the development, maintenance, and annual review of agency COOP capabilities.

This COOP plan supports the performance of essential functions from alternate locations (due to the primary facility becoming unusable, for long or short periods of time) and also provides for continuity of management and decision-making at the transportation agency, in the event that senior management or technical personnel are unavailable, inaccessible or lost to the organization.

Authorities and References

This section should identify all supporting authorities and references that have assisted in the development of this COOP plan.

On *[insert month, date and year]*, the *[executive director/general manager]* approved and issued the *[insert name of transportation agency] Continuity of Operations Mission Statement* establishing the agency's philosophy and objectives in developing and implementing a comprehensive continuity of operations capability for all facets of the agency's operation.

The COOP plan has been developed to implement this mission statement and has the full endorsement of the *[insert name of transportation agency]'s [executive director/general manager]* and senior management. This COOP plan is also referenced in *[insert name of the transportation agency's Emergency Response Plan]*.

The COOP plan complies with the following *[local/regional/state]* regulations:

- *[cite regulation]*
- *[cite regulation]*
- *[cite regulation]*
- *[cite regulation]*

Though not required, the COOP plan addresses requirements identified in the Federal Emergency Management Agency, *Continuity of Operations Federal Preparedness Circular 65*, issued on June 15, 2004. The updated FPC 65 is available at:

http://www.fema.gov/pdf/library/fpc65_0604.pdf or
http://www.fema.gov/txt/library/fpc65_0604.txt.

Other references that have supported the development of this COOP plan include the following:

- *[cite reference]*
- *[cite reference]*

Scope and Applicability

This sub-section should describe the element's of the transportation agency affected by the COOP plan, the times during which the COOP plan is in effect, the components of the transportation agency covered by the COOP plan, and the distribution of the COOP plan.

The COOP plan is applicable to all [insert name of transportation agency] departments, divisions, units, contractors and personnel. This COOP plan describes the actions that will be taken to activate a viable COOP capability within 12 hours of an emergency event, and to sustain that capability for up to 30 days. The COOP plan can be activated during duty and non-duty hours, both with and without warning.

The COOP plan covers all facilities, systems, vehicles and buildings operated or maintained by [insert name of transportation agency]. The COOP plan supports the performance of essential functions from alternate locations (due to the primary facility becoming unusable, for long or short periods of time) and also provides for continuity of management and decision-making at the transportation agency, in the event that senior management or technical personnel are unavailable.

The COOP plan has been distributed to senior managers with the [insert name of transportation agency]. Training has been provided to [insert name of transportation agency]'s personnel with identified responsibilities. The COOP plan has been shared with local emergency response and management agencies, designated emergency coordination officers, [city/county/regional] emergency management directors, emergency management planners, and other interested parties.

Policy

This sub-section identifies the policy of the transportation agency regarding the development, implementation and maintenance of a COOP capability.

It is the policy of [insert name of transportation agency] to respond quickly at all levels in the event of an emergency or threat, to include human, natural, technological, and other emergencies or threats, in order to continue essential internal operations and to provide support to our customers, emergency management and response agencies, and other agencies or services that may be affected by the emergency.

A viable COOP capability identifies essential functions and consists of plans and procedures, alternate facilities, and alternate interoperable communications and data support systems, reinforced by comprehensive training, orientation, and exercise programs. COOP capabilities must be maintained at a high level of readiness, be capable of being activated both with and without warning, achieve operational status no later than 12 hours after activation, and maintain sustained operations for up to 30 days or until termination.

Objectives

This sub-section clarifies the objectives of the transportation agency's COOP plan.

The objectives of this plan are as follows:

- maintain command, control and direction during emergencies;
- reduce disruptions to operations;

- protect essential facilities, equipment, records, and other assets;
- assess and minimize damage and losses;
- provide organizational and operational stability;
- facilitate decision-making during an emergency;
- achieve an orderly recovery from emergency operations;
- assist affected employees and their families;
- provide for the line of succession to critical management and technical positions;
- provide resources and capabilities to develop plans for restoring or reconstituting regular activities, depending upon the scope, severity, and nature of the incident; and
- fulfill the agency's responsibilities in local, regional and state emergency operations plans and agreements with local emergency response and management agencies.

Essential Functions

The essential functions section should include a list of the organization's prioritized essential functions. Essential functions are those organizational functions and activities that must be continued under any and all circumstances.

In the transportation environment, emergencies may occur both with and without warning which result in the:

- denial of use of facilities or vehicles;
- loss of power;
- loss of telecommunications;
- suddenly unavailable senior management or technical personnel; and/or
- inaccessible information technology systems.

When confronting events which disrupt the normal operations of *[insert name of transportation agency]*, the *[insert name of transportation agency]* is committed to provide essential functions which must be continued even under the most challenging emergency circumstances. The *[insert name of transportation agency]* has identified as essential functions only those most critical activities which ensure the safety and security of system users, employees, contractors, emergency responders and the general public; support the restoration of internal operations; and facilitate emergency response operations.

During activation of this COOP plan, all other activities will be suspended, to enable the agency to concentrate on providing the essential functions and building the internal capabilities necessary to increase and eventually restore operations. Appropriate communications with regular or expected users of services provided by those suspended services will be a priority.

The *[insert name of transportation agency]* has identified the following functions, organized by area of responsibility within the agency, as essential functions in this COOP Plan. Essential functions have been prioritized by whether they should be implemented in the first day (FD) or first week (FW) after the emergency event.

The *[insert name of transportation agency]* has also identified critical processes, services, systems, and equipment necessary to support each essential function, as well as key personnel required. *[Consider priorities that were established using Worksheets #17: Prioritized Listing of Essential Functions, and Worksheet #15: Critical Processes or Services, Personnel, Records, Equipment and Resources, and Systems Supporting Each Essential Function as Appendix A.]*

Concept of Operations (CONOPS)

The introduction to this section of the COOP plan should describe what the CONOPS is and provide an overview of what is discussed in the section.

To implement the COOP plan, the transportation agency has developed a concept of operations (CONOPS), which describes its approach to implementing the COOP plan, and how each COOP plan element will be addressed. In particular, this CONOPS focuses on establishing emergency decision-making authority and defining a decision process for determining appropriate actions in implementing COOP plans and procedures. This CONOPS also clarifies the transportation's agency assumptions regarding its activities to activate and sustain a viable COOP capability. Finally, the CONOPS identifies how the transportation agency will address issues associated with notification and alert, and direction and control.

Planning Scenarios

The purpose of this sub-section of the CONOPS is to identify the scenarios considered by the transportation agency as most relevant for COOP planning.

The COOP plan has been developed around a set of scenarios which reflect the *[insert name of transportation agency]*'s assessment regarding the types of events which may result in COOP plan activation. For each type of scenario, activities have been identified to ensure the activation of the COOP plan and the continuous capability of the *[insert name of transportation agency]* to make decisions and take action.

Activation of the COOP plan may involve:

- the deliberate and pre-planned movement of selected key staff and technical personnel to an alternate operating facility;
- the implementation of temporary work procedures;
- the delegation of emergency authorities to successors of senior management and technical personnel who are unavailable during the emergency; and/or
- the assignment of COOP teams to perform specific activities necessary to ensure essential functions.

The following four types of scenarios have been identified by *[insert name of transportation agency]* as the most likely to trigger COOP plan activation:

- **Planning Scenario 1: Operations and Administrative Facility Alone Affected.**
Under this type of scenario, the main operations and administrative facility is closed for normal business activities, but the cause of the disruption has not affected surrounding facilities, utilities, or the transportation network. The most likely causes of such disruption are fire; system/mechanical failure; loss of utilities such as electricity, telephone, water, or steam; or explosion (regardless of cause) that produces no significant damage to any other facilities or systems used by the transportation agency. This type of event could significantly impact *[insert name of transportation agency]*'s communications, transportation monitoring, and information technology capabilities. Vehicles and maintenance facilities, located at or adjacent to the operations and administration facility, may be damaged or destroyed. Senior management, technical and supporting personnel working at the facility may be lost, injured, or not accounted for.

- **Planning Scenario 2: Operations and Administrative Facility and Surrounding Area Affected.** Under this scenario, the Operations and Administrative Facility as well as supporting facilities are closed for normal business activities as a result of widespread utility failure; massive explosion (whether or not originating in the operations and administrative facility); severe earthquake; civil disturbance; or credible threats of actions that would preclude access or use of the Operations and Administrative Facility and surrounding areas. Under this scenario there could be uncertainty regarding whether additional events (such as secondary explosions, aftershocks, or cascading utility failures) could occur. During this type of event, the *[insert name of transportation agency]*'s primary facilities and the immediate areas surrounding them are inaccessible.
- **Planning Scenario 3: Supporting Facilities Affected.** Under this scenario, the operations and administration facility is left unharmed, but one or more support facilities is inoperable. These may include vehicle storage facilities, maintenance facilities, stations, or other systems used by the transportation agency. This type of event could be the result of a natural disaster, workplace violence, cyber attack or other event.
- **Planning Scenario 4: Local/Regional Area Affected.** Under this scenario, the transportation agency's service area would be inaccessible for normal business activities as a result of a major disaster (hurricane, earthquake) or an actual or threatened use of a weapon of mass destruction such as a chemical, biological, radiological, or nuclear agent (whether or not directed at the operations and administrative facility). The *[insert name of transportation agency]*'s facilities are functional, but cannot be used because of the nature of the emergency.

Planning Assumptions

The purpose of this sub-section of the CONOPS is to identify the situations and assumptions used to guide development of the COOP plan. This sub-section clarifies what the transportation agency will and will not be able to do in the event of disruption.

Assumptions used to support the *[insert name of transportation agency]*'s planning for each of these scenarios include the following elements.

- Emergencies or threatened emergencies can adversely impact the transportation agency's ability to continue to support essential functions and provide support to the operations of clients and external agencies.
- When a COOP event is declared, the transportation agency will implement a predetermined plan using trained and equipped personnel.
- Transportation agency and non-agency personnel and resources located outside the area affected by the emergency or threat will be available as necessary to continue essential functions.
- The transportation agency will provide operational capability within 12 hours of the event and be able to continue essential operations for 30 days or until termination of the event, whichever is earlier.
- Recovery for anything less than complete destruction will be achievable by using the COOP plan.
- Normally available staff members may be rendered unavailable by a disaster or its aftermath, or may be otherwise unable to participate in the recovery.
- Procedures are sufficiently detailed so someone other than the person primarily responsible for the work can follow them.

- Recovery of a critical subset the agency's functions and application systems will occur to allow the agency to continue essential functions adequately.
- A disaster may require transportation users, clients and local agencies to function with limited automated support and some degradation of service, until full recovery is made.

COOP Execution

The purpose of this sub-section is to explain how the transportation agency will make the decision to activate the COOP plan.

The *[executive director or general manager]*, or his or her designated successor, may implement this COOP plan. The COOP plan is implemented based on known or anticipated threats and emergencies that may occur with or without warning. The *[insert name of transportation agency]* will use a time-phased approach for implementation whereby critical resources are deployed early and other resources will follow as needed.

- **Known threats and emergencies (with warning):** There are some threats to operations that may afford advance warning that will permit the orderly alert, notification, evacuation, and if necessary, the relocation of employees. Situations that might provide such warning include a hurricane, a transportation accident resulting in a threat of a release of hazardous material (HAZMAT) or a threat of a terrorist incident.
- **Unanticipated threats and emergencies (no warning) During Non-Duty Hours:** Incidents may not be preceded by warning, e.g., earthquakes, arson, HAZMAT, or terrorist incidents, and may occur while the majority of on-site staff are not at work. In these circumstances, while operations from the primary facilities may be impossible, the majority of our employees will still be able to respond to instructions, including the requirement to relocate following proper notification.
- **Unanticipated threats and emergencies (no warning) During Duty Hours:** Incidents may also occur with no warning during normal office hours. In these circumstances, execution of the COOP, if indicated by the circumstances of the event, would begin by execution of the *[insert name of transportation agency]*'s Emergency Response Plan to support notification, evacuation, and situation assessment.

In each of these circumstances, the transportation agency has developed an executive decision process that allows for a review of the emergency situation and determination of the best course of action for response and recovery. This process uses a decision matrix for implementing the COOP plan. Careful review of this matrix should avoid premature or inappropriate activation of the agency COOP plan.

The decision matrix is presented below. Potential disruptions resulting from emergency events are classified in Emergency Levels 1 through 5. Using these emergency levels, the *[executive director/general manager]*, or a duly designated successor will activate or partially activate the COOP plan.

The decision matrix focuses on the way in which the emergency event may impact the capabilities of the transportation agency to provide its essential functions. To remain flexible to the variety of situations that could trigger activation or partial activation of the COOP plan, this matrix provides guidance, and recommended impacts and decisions may be modified based on the actual events.

Executive Leadership COOP Plan Activation Decision Matrix

Level of Emergency	Impact on Agency and COOP Decision
1	<p>Impact: Disruption of up to 12 hours, with little effect on services or impact to essential functions or critical systems.</p> <p>Example: Major accident on highway or transit system.</p> <p>Decision: No COOP activation required.</p>
2	<p>Impact: Disruption of 12 to 72 hours, with minor impact on essential functions.</p> <p>Example: Computer virus, small fire or moderate flooding.</p> <p>Decision: Limited COOP activation, depending on transportation agency requirements.</p>
3	<p>Impact: Disruption to one or two essential functions or to a vital system for no more than three days.</p> <p>Example: Power outage, heightened Homeland Security Advisory System Threat Level.</p> <p>Decision: May require partial COOP activation to move certain personnel to an alternate facility or location in the primary facility for less than a week.</p>
4	<p>Impact: Disruption to one or two essential functions or to the entire agency with potential of lasting for more than three days but less than two weeks.</p> <p>Example: Snow/ice storm; hurricane, workplace violence, major telecommunications failure or major power outage.</p> <p>Decision: May require partial COOP plan activation. For example, orders of succession for some key personnel may be required; in addition, movement of some personnel to an alternate work site or location in the primary facility for more than a week may be necessary. Personnel not supporting essential functions may be instructed not to report to work, or be re-assigned to other activities.</p>
5	<p>Impact: Disruption to the entire agency with a potential for lasting at least two weeks.</p> <p>Example: Explosion in/contamination of primary facility; major fire or flooding; earthquake, tsunami.</p> <p>Decision: COOP plan activation. May require activation of orders of succession for some key personnel. May require movement of many, if not all, essential personnel to an alternate work site for more than two weeks. Personnel not supporting essential functions may be instructed not to report to work, or be re-assigned to other activities.</p>

COOP Teams

This sub-section should describe the organization of teams to be used by the transportation agency to implement the COOP plan.

In the event of activation or partial activation of the COOP plan, designated teams have been established by *[insert the name of the transportation agency]* to manage and perform essential functions. To staff the COOP teams, the *[insert the name of the transportation agency]* has identified key positions to provide management and technical functions necessary to establish essential functions within 12 hours after the emergency event. In addition, supporting personnel have been identified to perform critical activities necessary to sustain essential functions for a period of up to 30 days.

The figure below depicts the teams designated by the *[insert the name of the transportation agency]*.

COOP Team Designations

Team	Team Members	Typical Responsibilities
Executive Team	Senior leadership not involved in specific activities to set up, conduct or directly support essential functions	<ul style="list-style-type: none">• Activate or partially activate COOP plan activities• Coordinate inter-agency and media communications• Promote coordination among governmental/agency units
Advance Team	Personnel who support critical services, systems or resources necessary to perform prioritized essential functions	<ul style="list-style-type: none">• Initiate notification regarding COOP plan activation (internal pager/beeper systems; call trees; in-person notification, etc.)• Notification of external agencies regarding COOP plan activation• Assignment to ready critical processes, systems, resources, and records necessary to support essential functions• Coordination with duly designated decision makers and the operations team• Coordinating the relocation of communications, information technology, and vital records, data sets and databases to the alternate facility or another location
Operations Team	Senior management and technical personnel from each organizational element within the agency with responsibility for essential functions	<ul style="list-style-type: none">• Ensure safety and security of system users, personnel, contractors, and others who have come into contact with the system• Initiate essential functions from alternate facility or other location• Manage emergency public information requirements• Coordinate emergency procurements and contracts• Coordinate necessary activities to manage emergency and administration functions• Coordinate inspections, damage assessments, and emergency repairs• Perform situation assessments and obtain status of the transportation system• Communicate and coordinate with advance

		teams and support teams <ul style="list-style-type: none"> Assess performance of essential functions Communicate status with local responders Develop plans for additional functions and gradual restoration of operations
Support Teams (Teams 1 through X)	Designated personnel from each element within the agency with responsibility for carrying out specific activities necessary to support essential functions	<ul style="list-style-type: none"> Receive notification from advance team or operations team Report to designated location (alternate facility, pre-determined location or other site) Support the operations team as directed -- typical support teams may be organized into vehicle operators, maintenance crews, inspection and damage assessment teams, traffic control and direction; public outreach, and support crews to emergency responders Provide other special needs as required.
Contingency Teams (Teams 1 through X)	Agency personnel with no designated responsibilities to support essential functions	<ul style="list-style-type: none"> Report to default locations (home or other site) Wait to be notified of assignment Be prepared to perform a range of functions as directed by the operations or support teams

- The **Executive Team** can handle decision-making and direct activation or partial activation of the plan. Members of this team should not be tasked with work on the advance team or even be expected to be involved with early operations team activities. Some senior leadership personnel can likely take on some tasks such as media and inter-agency contacts, freeing up advance, operations, support and contingency teams to assure that essential functions are carried out. They can also be expected to be influential in leveraging assistance and removing obstacles that were unanticipated.
 - [Briefly describe the organizational department(s) assigned to staff the executive team and the designated job title/position who will lead the team.]
- The **Advance Team**, immediately after activation or partial activation of the COOP plan, will perform activities necessary to ready the system for the performance of essential functions. This may include the restoration of telecommunications and information technology systems capabilities, the mobilization of resources, the preparation of deployment sites and/or alternate operating locations, and the location and protection of vital records, data sets, and databases.
 - [Briefly describe the organizational department(s) assigned to staff the advance team and the designated job title/position who will lead the team.]
- The **Operations Team** will lead the performance of essential functions, developing strategies and plans to ensure their continuation no later than 12 hours after the emergency event. The operations team will coordinate with the advance team to synchronize operations and to successfully bring up services and systems using alternate locations, back-up systems, mobilized resources, temporary work procedures, and pre-determined or impromptu deployment sites.
 - [Briefly describe the organizational department(s) assigned to staff the operations team and the designated job title/position who will lead the team.]
- Support Teams** will follow the direction of the operations team. Support teams are typically organized by functions and will focus their activities on the discrete activities necessary to perform essential functions. The activities may include vehicle

operations, maintenance crews, inspection and damage assessment teams, traffic control and direction; public outreach/information; and support crews to emergency responders. There may be one or more support teams specified.

- *[Briefly describe the organizational department(s) assigned to staff the support teams, the categories of support teams, and the designated job title/position who will lead them.]*
- **Contingency Teams** initially may not be needed. These personnel will report to their homes or other locations to wait for direction from the operations team or support teams. These personnel understand that they may be assigned to perform a range of functions necessary to support the transportation agency, its users and customers, and emergency responders. As they are called upon to support the agency's return to normal operations, these personnel may be organized into one or more teams.
 - *[Briefly describe the organizational department(s) assigned to staff the contingency teams, the categories of contingency teams, and the designated job title/position who will lead them.]*

A roster of trained personnel to support COOP plan implementation has been developed and is maintained by the transportation agency. *[Reference and include Worksheet #23: COOP Personnel/Team Roster for each essential function as Appendix B or include directly in the COOP plan.]*

Alternate Facilities and Worksites

The *[insert name of transportation agency]* recognizes that normal operations may be disrupted and that there may be a need to perform essential functions at alternate facilities or worksites.

In preparing this list of alternate facilities, the *[insert name of transportation agency]* identified the capabilities of each alternate facility or work site to support essential functions. *[Reference and insert Worksheet #18: Requirements for Alternate Work Sites as Appendix C.]* In addition, depending on the emergency conditions, the *[insert name of transportation agency]*, through cooperative agreements and mutual aid agreements, also has access to additional facilities that could support essential functions. *[Reference and insert Worksheet #19, Alternate Work Site Options as Appendix D.]*

To ensure adequate support for personnel located at alternate facilities, the *[insert name of transportation agency]* has addressed requirements for food, transportation and lodging (if necessary). *[Reference and insert Worksheet #20: Transportation, Lodging, and Food as Appendix E.]*

Each essential function may need a different level of security and access control. To ensure that appropriate measures are in place, the *[insert name of transportation agency]* has identified security requirements for each essential function. *[Reference and insert Worksheet #21: Security and Access as Appendix F.]*

Alternate facilities, addresses, contact information and special considerations are included. *[Reference and insert Worksheet #22: Transportation Agency Alternate Facilities as Appendix G.]*

Time-Phased Implementation

This sub-section should describe the transportation agency's approach to time-phased implementation of its COOP plan.

The transportation agency will use a three-phased approach to the activation, management, and eventual de-escalation of the COOP plan.

Time-Phased Implementation

Phase	Time Frame	Activity
Phase I- Activation and Relocation	0-12 Hours	<ul style="list-style-type: none">▪ Notify alternate facility manager of impending activation and relocation requirements.▪ Notify impacted local, regional and state agencies.▪ Activate plans to transfer to alternate facility.▪ Instruct advance team to ready alternate facility.▪ Notify agency employees and contractors regarding activation of COOP plan and their status.▪ Assemble documents/equipment required for essential functions at alternate facility.▪ Order needed equipment/supplies.▪ Transport documents and designated communications.▪ Secure original facility.▪ Continue essential functions at regular facility, if available, until alternate facility is ready.▪ Advise alternate facility on status.▪ Where are the operations and support teams?▪ Activate advance, operations, and support teams as necessary.
Phase II- Alternate Facility/Work Site Operations	12 Hours to Termination of Emergency	<ul style="list-style-type: none">▪ Provide guidance to contingency team personnel and information to the public.▪ Identify replacements for missing personnel (delegation of authority and orders of succession).▪ Commence full execution of operations supporting essential functions at the alternate facility.
Phase III- Reconstitution	Termination of Emergency	<ul style="list-style-type: none">▪ Inform all personnel that the threat no longer exists.▪ Supervise return to normal operating facility.▪ Conduct a review of COOP plan execution and effectiveness.

A brief description of [insert name of transportation agency]'s approach to each phase of activation is provided below.

Phase 1: Activation and Relocation

- **Alert and Notification.** The agency has established specific procedures to alert and notify the [executive director/general manager], senior management staff, and members of the advance team, operations team, support teams and contingency

teams that COOP activation is imminent. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*

- **Initial Actions.** The agency has identified specific actions to be taken to terminate primary operations and activate COOP team, communications links, and the alternate facility. *[Briefly describe actions or refer to list of actions in appendix.]*
- **Activation Procedures Duty Hours.** The agency has established procedures for an efficient and complete transition of direction and control from the primary facility to the alternate facility, and includes measures for security at both sites. These procedures complement the transportation agency's evacuation plans and emergency response plans. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*
- **Activation Procedures Non-Duty Hours.** Procedures for the notification of key staff when not at primary site have been developed. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*
- **Deployment and Departure Procedures (Time-Phased Operations).** Allowances have been made for partial pre-deployment of any essential functions that are critical to operations; determination will be based on the level of threat. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*
- **Transition to Alternate Operations.** The transportation agency has established minimum standards for communication, direction, and control to be maintained until the alternate facility is operational. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*
- **Site-Support Responsibilities.** The transportation agency has developed a checklist to guide activation of the alternate facility; procedures include provision for notification to alternate facility manager to ready site for operations. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*

Phase 2: Alternate Operations

- **Execution of Essential Functions.** The transportation agency will perform any essential functions determined to be critical to operations from the alternate facility or using temporary work orders or procedures. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*
- **Establishment of Communications.** The transportation agency will re-establish normal lines of communication within the agency, to external agencies, and to the public. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*
- **Support and Contingency Team Responsibilities.** Responsibilities will be assigned to transportation personnel to perform essential functions. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*
- **Augmentation of Staff.** As the situation comes under control, additional staff will be activated to provide other services and functions, as necessary. *[Briefly describe procedure or refer to procedure or checklist in appendix.]*

- **Amplification of Guidance to Support and Contingency Teams.** Additional guidance will be provided to all transportation personnel in regards to duration of alternate operations and include pertinent information on payroll, time and attendance, duty assignments, etc. [*Briefly describe procedure or refer to procedure or checklist in appendix.*]

Development of Plans and Schedules for Reconstitution and Termination. As soon as feasible, the operations team will begin preparation of communication, vital records and databases, and other activities to transfer operations back to primary facility. Circumstances may dictate that a new primary facility is designated and subsequently occupied. [*Briefly describe procedure or refer to procedure or checklist in appendix.*]

Phase 3: Reconstitution

- **Reconstitution Process.** The transportation agency will develop general guidance and policy on ending alternate operations and returning to a non-emergency status at the designated primary facility. [*Briefly describe procedure or refer to procedure or checklist in appendix.*]
- **Reconstitution Procedures.** The transportation agency will establish specific actions to ensure a timely and efficient transition of communications, direction and control, and transfer of vital records and databases to primary facility. [*Briefly describe procedure or refer to procedure or checklist in appendix.*]
- **After-Action Review and Remedial Action Plans.** The transportation agency will develop a task force to assess all phases and elements of the alternate operations and provide specific solutions to correct any areas of concern. [*Briefly describe procedure or refer to procedure or checklist in appendix.*]

Operational Hours

This sub-section establishes the work schedule to go in effect with the activation of COOP plan.

During activation of the COOP plan, the [*insert name of transportation agency*]'s operating hours will be between [*insert X:XX am and X:XX pm*]. As essential functions are provided and additional services come on line, these hours will be extended.

Notification and Alert

The [*insert name of transportation agency*] recognizes that the COOP plan could be able to be activated under all conditions:

- **With Warning.** It is expected that, in many cases, the [*insert name of transportation agency*] will receive a warning of at least a few hours prior to an event. This will normally enable the full execution of the COOP plan with a complete and orderly alert, notification, and deployment of the advance team and operations team to an assembly site or a pre-identified deployment location. Notification will occur through beeper/pager, email and telephonic methods, using standard procedures developed by the agency [*reference procedure*].

- **Without Warning.** The ability to execute the COOP plan following an event that occurs with little or no warning will depend on the severity of the emergency and the number of personnel that survive.
 - **Non-Duty Hours.** COOP team personnel should be able to be alerted and activated to support operations for the duration of the emergency. [*Insert or reference procedure.*] Notification will occur through beeper/pager and telephonic means. Under certain circumstances, in-person notification may be necessary [*reference procedure*].
 - **Duty Hours.** If possible, the COOP plan will be activated and available members of the COOP teams will be deployed as directed to support operations for the duration of the emergency. Depending on the status of communications, notification will be made by beeper/pager, telephone, in-person at facilities, and using designated call down procedures [*insert or reference procedure.*]

Delegations of Authority and Orders of Succession

This sub-section should identify orders of succession to key positions within the organization and the process to be used for delegations of emergency authority.

In the event that executive leadership, senior management or senior technical personnel are unavailable during an emergency, the [*insert name of transportation agency*] has developed a set of procedures to govern both orders of succession and delegations of emergency authority.

- Authorized successors have been identified for key management and technical positions within the agency. [*Reference and insert Worksheet #26: Orders of Succession as Appendix H.*]
- Authorities have been pre-delegated for making policy determinations and decisions. All such pre-delegations specify what the authority covers, what limits may be placed upon exercising it, who (by title) will have the authority, and under what circumstances. [*Reference and insert Worksheet #24: Matrix for Listing Delegations of Authority and Worksheet #25: Delegation of Authority -- Rules, Procedures and Limitations as Appendix I.*]

Vital Records and Databases

A successful COOP plan provides for the protection, accessibility, and recovery of the agency's vital records, systems, and equipment. These are the records, systems, and equipment that if irretrievable, lost, or damaged will materially impair the agency's ability to conduct business and carry out essential functions.

The [*insert name of transportation agency*] has identified vital records and databases, which must be available to support performance of essential functions. The [*insert name of transportation agency*] has also identified vendors and contractors available to support restoration of vital records, systems, and/or processes. [*Reference and insert Worksheet #27: Vital Records and Worksheet #28: Restoration and Recovery Resources as Appendix J.*]

Communications

Communications is a critical component of a successful transportation COOP capability. Communications systems must support connectivity to internal organizations, other agencies, critical customers, and the public. To ensure communications during COOP events, the *[insert name of transportation agency]* has identified primary and alternate modes of communication, and preventive controls in place for each means of communication. *[Reference and insert Worksheet #29: Communications Systems Supporting Essential Functions, Worksheet #30: Preventive Controls for Communication Systems, and Worksheet #31: Alternative Modes of Communication as Appendix K.]*

Responsibilities and Procedures

This section of the COOP plan identifies the responsibilities and procedures developed by the transportation agency to activate and sustain a COOP capability.

Responsibilities

The purpose of this section is to identify key positions within the agency and their responsibilities in the event of an emergency requiring COOP activation.

The following lists identify major responsibilities of key and designated officials required to implement *[insert name of transportation agency]*'s COOP plan.

The *[executive director/general manager]* is responsible for:

- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*

The COOP leader is responsible for:

- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*

The executive team is responsible for:

- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*

The *[insert title of position in charge of advance team]* is responsible for:

- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*
- *[insert responsibility]*

Members of the advance team are responsible for:

- [insert responsibility]
- [insert responsibility]
- [insert responsibility]
- [insert responsibility]

The [insert title of position in charge of operations team] is responsible for:

- [insert responsibility]
- [insert responsibility]
- [insert responsibility]
- [insert responsibility]

Members of the operations team are responsible for:

- [insert responsibility]
- [insert responsibility]
- [insert responsibility]
- [insert responsibility]

The [insert title of position in charge of support teams] is responsible for:

- [insert responsibility]
- [insert responsibility]
- [insert responsibility]
- [insert responsibility]

Members of the support teams are responsible for:

- [insert responsibility]
- [insert responsibility]
- [insert responsibility]
- [insert responsibility]

Members of contingency teams are responsible for:

- [insert responsibility]
- [insert responsibility]
- [insert responsibility]
- [insert responsibility]

Drive-Away Kits

Each member of the advance and operations teams is expected to create a “drive-away kit” to enhance his or her preparedness for responding to any incident. A drive-away kit should contain those items a team member considers essential to supporting operations at an alternate site. Each kit may be somewhat unique, but most should include such items as COOP checklists, key contact lists (names, phones, addresses, etc.), small disks or files specific to the member’s position that will be important to an effective response capability, any small specialized tools routinely used by the member, and maps to alternate sites.

For those whose job responsibilities include having access to their kits at all times, those expectations are specifically listed in the appendix.

Procedures

The [*insert name of transportation agency*] has developed specialized lists of responsibilities based on its unique organizational structure to the unit-level. Responsibilities are presented in checklist format for those key job positions that will:

- manage the activation of the COOP plan;
- oversee implementation of emergency response procedures to ensure the safety of employees, contractors, customers and the general public;
- activate alternate facilities and supporting communications and information technology systems;
- coordinate with local responders and interface with the established Incident Command System/Unified Command;
- support legal activities on behalf of the transportation agency;
- provide public information;
- perform situation assessment for the transportation infrastructure;
- perform inspection and repair;
- manage area traffic control/transportation system service;
- develop temporary service plans; and
- lead the recovery transition.

The following table indicates where procedures supporting key COOP activities can be located. [*Insert other or additional checklist/procedures into the table as necessary.*]

Checklist/Procedure	Location
COOP Alert and Notification checklist and procedures	
COOP activation checklists and procedures	
Roster of fully equipped and trained personnel	
Personnel accountability procedure	
Procedures for employee advisories, alerts, and instructions	
Site-support procedures	
Resource acquisition SOP	
Building evacuation plan	
Assembly site(s) and deployment SOP	
Family preparedness plan	
Protection and safeguarding of vital records and databases	
Order of succession implementation in emergency conditions SOP	
Communication to critical customers SOP	
Contingency procedures for availability of vital records and databases	
Annual review and remedial action plan	
Pre-positioned resources and drive-away kit standards	
Advance team COOP SOP	
COOP team SOP	

Facility vulnerability assessment	
Unit COOP implementation plans	
Relocation group rosters and updates	
Logistical support SOP	
Mobile communications support SOP	

COOP Plan Maintenance

The [insert name of transportation agency] has developed an approach to maintaining a viable COOP capability. This approach ensures the review and update of the COOP plans and its supporting documents; the orientation of training of both existing and newly hired/appointed personnel; and the testing of the COOP capability through internal, local, regional and state exercises. *[The agency may change tasks and/or frequency for inclusion.]*

COOP Plan Maintenance

Activity	Tasks	Frequency
Plan update and certification	<ul style="list-style-type: none"> Review entire plan for accuracy Incorporate lessons learned and changes in policy and philosophy Manage distribution of plan updates 	Semi-annually
Maintain and update Orders of Succession	<ul style="list-style-type: none"> Obtain names of current incumbents and designated successors Update Delegation of Authorities 	As-needed
Checklists	<ul style="list-style-type: none"> Update and revise checklists Ensure annual update/validation 	As needed Annually
Update rostering all positions	<ul style="list-style-type: none"> Confirm/update information on rostered members of COOP Teams 	Monthly or quarterly
Appoint new members of the COOP Team	<ul style="list-style-type: none"> Qualifications determined by COOP Leaders Issue appointment letter and schedule member for orientation 	As needed
Maintain alternate work site readiness	<ul style="list-style-type: none"> Check all systems Verify access codes and systems Cycle supplies and equipment as needed 	Quarterly
Review and update supporting Memoranda of Understanding/Agreements	<ul style="list-style-type: none"> Review for currency and new needs Incorporate changes, if required Obtain signature renewing agreement or confirming validity 	Annually
Monitor and maintain equipment at alternate sites	<ul style="list-style-type: none"> Train users and provide technical assistance Monitor volume/age of materials and assist users with cycling/ removing files 	Ongoing
Train new members	<ul style="list-style-type: none"> Provide an orientation and training class Schedule participation in all training and exercise events 	Within 30 days of appointment
Orient new policy officials and senior management	<ul style="list-style-type: none"> Brief officials on COOP Brief each official on his/her responsibilities under the COOP 	Within 30 days of appointment
Plan and conduct exercises	<ul style="list-style-type: none"> Conduct internal exercises 	Semi-annually

	<ul style="list-style-type: none"> ▪ Conduct joint exercises with local, regional, and/or state agencies ▪ Support and participate in interagency exercises 	<p>Annually</p> <p>Annually or as needed</p>
Maintain security clearances	<ul style="list-style-type: none"> ▪ Obtain, maintain and update appropriate security clearances 	Ongoing

Glossary of Terms

Activation. When a COOP plan has been implemented whether in whole or in part.

Agency head. The highest-ranking official of the transportation agency or a successor or designee selected by the official.

Alternate facility. A location, other than the normal facility, used to carry out essential functions in a COOP situation.

Automated Data Processing (ADP) equipment. Equipment that performs data processing largely by automatic means.

Collateral damage. Injury to personnel or damage to facilities that are not the primary target of attack.

Consumable office supplies. General supplies that are consumed in office use.

Continuity of Operations (COOP). The activities of individual departments and agencies and their sub-components to ensure that their essential functions are performed throughout an emergency situation and its short-term aftermath. This includes plans and procedures that:

- delineate essential functions;
- specify succession to office and the emergency delegation of authority;
- provide for the safekeeping of vital records and databases;
- identify alternate operating facilities;
- provide for interoperable communications;
- ensure personnel readiness; and
- validate the COOP capability through tests, training, and exercises.

COOP Event. Any event that causes the transportation agency to invoke its COOP plans and procedures to assure continuance of its essential functions.

Critical Infrastructure Protection (CIP). Risk management actions intended to prevent a threat from attempting to, or succeeding at, destroying or incapacitating the transportation agency's critical infrastructures

Delegation of authority. Specifies who is authorized to act on behalf of the agency head and other senior management and technical personnel for specific purposes.

Devolution. The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

Drive-away kit. A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. It contains items needed to minimally satisfy personal and professional needs during deployment. It is sometimes also referred to as a go-kit.

Emergency operating records. Records that support the execution of an agency's essential functions.

Essential functions. Functions that enable the transportation agency to:

- provide vital services;
- maintain the safety and well being of employees, contractors, customers, and the general public; and
- sustain the economic base in an emergency.

Essential resources. Resources that support the agency's ability to provide essential functions.

Executive agent. A term used to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An executive agent may be limited to providing only administration and support or coordinating common functions or he/she may be delegated authority, direction, and control over specified resources for specified purposes.

Interagency Agreements. A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Interoperability. The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together. This word can also be used to describe the condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

Interoperable communications. Alternate communications that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

Legal and financial records. Records that are needed to protect the legal and financial rights of the transportation agency and of the persons affected by its actions.

Mission critical data. Information essential to supporting the execution of an agency's essential functions.

Mission critical systems. ADP equipment essential to supporting the execution of an agency's essential functions.

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

Originating facility. The site of normal, day-to-day operations; the location where the employee usually goes to work.

Reconstitution. The process by which the affected transportation agency resumes normal operations from the original or replacement primary operating facility.

Risk analysis. The identification and assessment of hazards.

Telecommuting locations. Those locations set up with computers and telephones that enable employees to work at a location closer to their house than their main office.

Test, Training, and Exercises (TT&E). Measures to ensure that an agency's COOP program is capable of supporting the continued execution of its essential functions throughout the duration of a COOP situation.

Virtual offices. A location or environment where an employee performs work through the use of portable information technology and communication packages.

Vital databases. Information systems needed to support essential functions during a COOP situation.

Vital records. Electronic and hardcopy documents, references, and records needed to support essential functions during a COOP situation. The two basic categories of vital records are emergency operating records and legal and financial records.

Weapons of Mass Destruction (WMD). Weapons capable of a high order of destruction and/or of being used in such a manner as to destroy large numbers of people. Weapons of mass destruction can be high explosives or nuclear, biological, chemical, and radiological weapons.

Work-at-home. When an employee carries out their work duties at their residence rather than their official duty station.

APPENDIX A: ESSENTIAL FUNCTIONS

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX B: COOP TEAM ROSTER

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX C: REQUIREMENTS FOR ALTERNATE WORK SITES

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX D: ALTERNATE FACILITY/WORK SITE OPTIONS

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX E: TRANSPORTATION, FOOD AND LODGING

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX F: SECURITY AND ACCESS

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX G: TRANSPORTATION AGENCY ALTERNATE FACILITIES

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX H: ORDERS OF SUCCESSION

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX I: EMERGENCY DELEGATIONS OF AUTHORITY

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX J: VITAL RECORDS AND DATABASES

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.

APPENDIX K: COMMUNICATIONS

Place completed process descriptions, checklists, and/or results of worksheets here for reference by those who will use the plan.