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# 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]**

Approved: \_\_\_\_\_ Date \_\_\_\_\_

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Approved: \_\_\_\_\_ Date \_\_\_\_\_

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Approved: \_\_\_\_\_ Date \_\_\_\_\_

**[Title]**

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## Introductions

*The Introductions 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](http://www.fema.gov/pdf/library/fpc65_0604.pdf) or  
[http://www.fema.gov/txt/library/fpc65\\_0604.txt](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 Introductions 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:

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