



# Kansas 911 Coordinating Council NG911 Operations Governance Policy

Prepared by Scott Ekberg  
Prepared for Dick Heitschmidt, Chairman  
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## Document Change Record

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03/28/14	Scott Ekberg	Original rough draft.
04/02/14	Scott Ekberg	Incorporated Jim Shinpaugh "Very High Level Very Rough Governance."
04/24/14	Randall White	Added inputs for Executive Summary.
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## 1 Executive Summary

The 911 Coordinating Council (hereinafter the Council) was created by the passage of the *Kansas 911 Act* (K.S.A. 12-5362 et. seq.) (hereinafter *the Act*) on May 18, 2011. The Council is comprised of 26 members, of which seventeen are voting members and nine are non-voting members. Twenty-two members are appointed by the Governor and four legislators are appointed by their leadership. The Council has broad statutory responsibilities that include monitoring the delivery of 911 services, developing strategies for future enhancements to the 911 system, distribution of 911 grant funds, adoption of Administrative Regulations, selection of the LCPA and providing guidance to PSAPs.

Next Generation 911 (NG911) is the transition from traditional circuit switched telephone networks to a digital, high speed, Internet Protocol (IP) based system, capable of delivering voice and massive quantities of data. This transition is necessary to accommodate the varied methods of communications currently utilized including text messaging, picture messaging, video messaging and other data based forms of communication. The transition will be required at some point by the sunset of the public switched telephone network as we know it today.

A significant change that will occur during the transition to NG911, is the manner in which calls are routed. Currently calls are routed to the correct Public Safety Answering Point (PSAP) utilizing emergency service numbers (ESNs) that are connected to the telephone number record of the device accessing 911. This method of routing was designed for and works well for wireline telephones. The advent of wireless technologies has made this method of call routing cumbersome and does not take advantage of the technology in an efficient manner. For this reason, NG911 will utilize geospatial information system (GIS) data for call routing. In the NG911 environment the call will be routed to the appropriate PSAP based on where the device is located at the time that the call is placed.

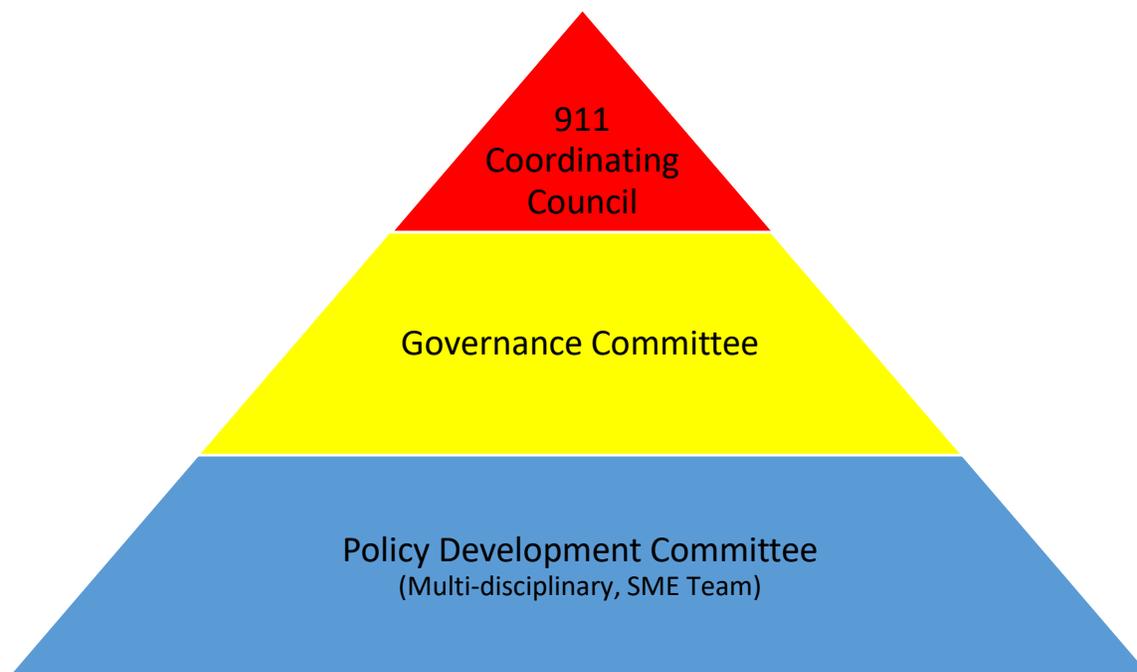
Due to the nature of NG911, it operates most efficiently and cost-effectively if it is a shared system used by a large number of PSAPs. With this fact in mind, the Council has moved towards developing a statewide NG911 solution that can be shared across all 117 PSAPs within the state. The vision of the Council is a statewide, high speed digital IP network consisting of a statewide fiber optic ring interconnected with seven regional network rings. Three data centers will be interconnected on the statewide ring and the PSAPs will connect either through their regional ring or directly to the statewide ring. Call handling hardware and software (hereinafter backroom equipment) will be housed in the three data centers and workstations accessing this backroom equipment will be placed in the PSAPs. This allows PSAPs to share the backroom equipment, thus eliminating the cost of purchasing, installing and maintaining this equipment at each PSAP. Each PSAP will continue to answer their 911 calls in the same manner as they are currently accustomed.

Migration to NG911 will be made in phases with the first phase being the construction of the IP network and implementation of shared backroom equipment. The second phase will be implementation of text-to-911 in the i3 form and migration to geospatial routing. As NG911 continues to mature, additional phases will be added as standards are developed and new technologies are migrated to the new environment.

As a part of this statewide NG911 system, the Council recognizes the need for governance of the system and the Council's activities. In recognition of this need, this document, the Kansas NG911 Governance Plan (hereinafter the Plan), has been created. The Plan is a high-level overview of the governance structure of the Council and statewide NG911. The plan is supported by individual policies and procedures that are separate, standalone documents and which are included in this plan. The governance plan is a living document and will be revised and updated as needed.

In fulfilling its statutory duties, the Council has created Committees for administration, operations, technical and GIS issues that arise. Governance for each of these areas is contained within the Plan. Figure 2 below depicts these four areas of governance and the supporting policies that are currently deemed to be needed. As the statewide NG911 system is built and deployed additional supporting policy documents will be created as necessary.

The Council believes that the appropriate approach to creating governance policy is a bottom up structure. In developing this plan and its underlying policy documents to date, the Council has utilized committees with widely varied experience and focus. These committees have included PSAP representatives from various sized PSAPs, industry vendor representatives, information technology professionals and others as deemed appropriate. The Council intends to continue this method of developing governance policy as we move forward into the NG911 environment. Figure 1 below illustrates this bottom up structure for policy development.



*Figure 1 – Policy Development Matrix*

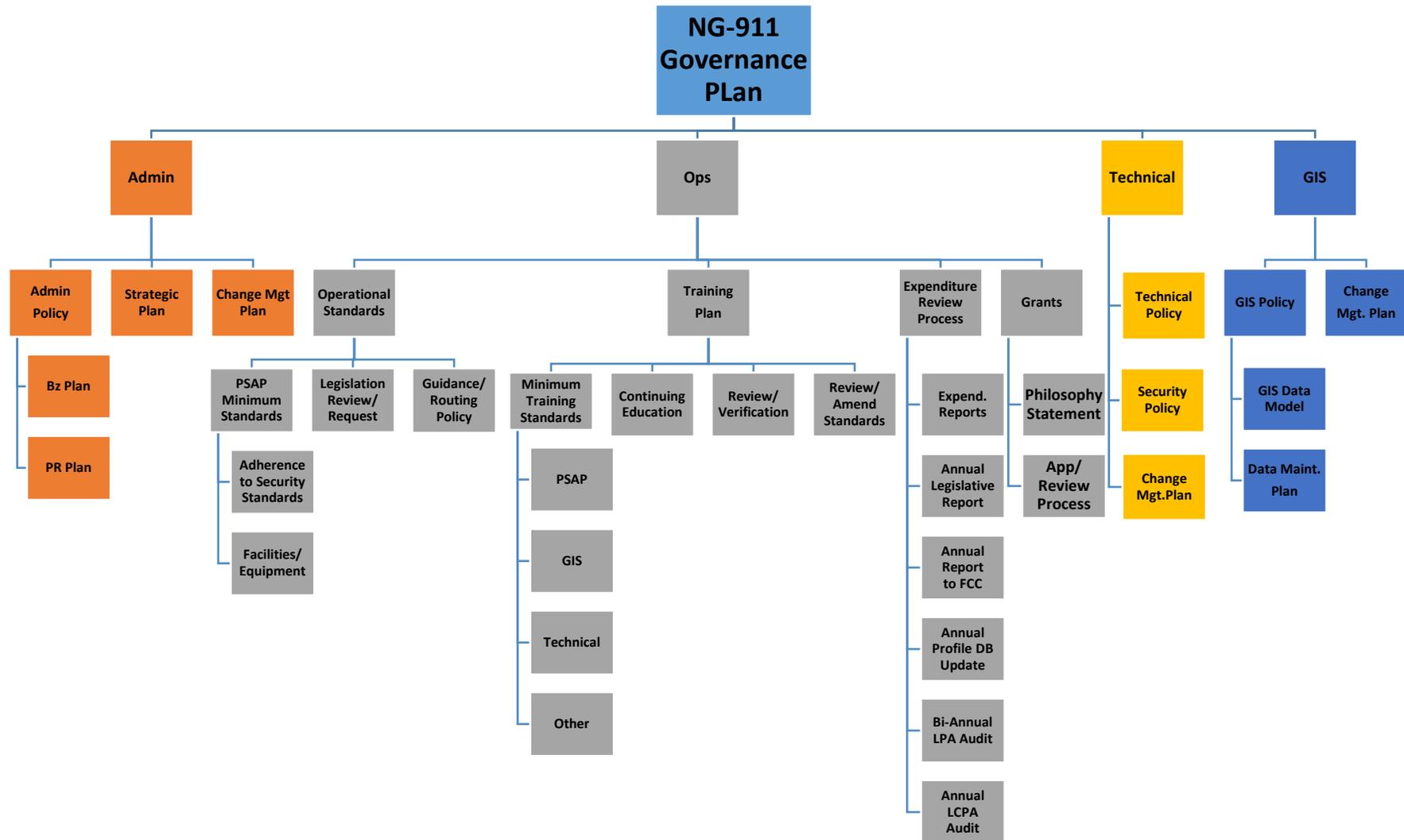


Figure 2 Kansas NG911 Governance Skeleton

## 2 Introduction

This governance plan is intended to be a high-level overview of governance policy and procedure for NG911 and the Council’s statutory duties. The governance plan is supported by underlying policy documents that address the specifics of governance for a particular topic. It is a living document and will be revised and updated as necessary.

As shown in Figure 1, policy is developed by a multi-disciplinary team of subject matter experts (SME). Once the policy is developed it is forwarded to the Governance Committee of the Council. This committee is made up of the chairs of the administrative, operations and technical committees of the Council. The Governance Committee reviews the proposed policy and either refers it back to the policy development committee or is approved and forwarded to the Council for acceptance. The Council reviews the policy and either accepts or rejects the policy. If the policy is rejected it is returned to the policy development committee for amendment. If the policy is accepted it is disseminated to the stakeholders statewide and implemented. The Governance plan is then updated to include the new underlying policy document.

## 3 Governance Roadmap

<b>Goal of NG9-1-1 Is Improved Public Safety for Kansas</b> (Roll out our Governance Policy: first to the Council, then to the Regions)			
<b>Governance</b> (lead, set, direct, control)		<b>Compliance</b> (implement, monitor, report)	
Set Direction Define Policies	Execute Policy Execute Decisions	Adhere to Policies (Perform Activities)	Adhere to Decisions
<ul style="list-style-type: none"> <li>• Strategy</li> <li>• Business Plan</li> <li>• Business Case</li> <li>• Business Model</li> <li>• Change Control</li> <li>• Re-evaluate</li> </ul>	<ul style="list-style-type: none"> <li>• Federal Regulations</li> <li>• Federal Standards</li> <li>• State Statutes</li> <li>• State Standards</li> <li>• Goals</li> <li>• Objectives</li> <li>• Metrics</li> </ul>	<ul style="list-style-type: none"> <li>• Program Directives</li> <li>• Agreements (MOU)</li> <li>• Processes</li> <li>• Procedures</li> <li>• SLA’s</li> <li>• Key Performance Indicators (KPIs)</li> </ul>	<ul style="list-style-type: none"> <li>• Workshops</li> <li>• Reviews</li> <li>• Approvals</li> <li>• Evaluation Tools (measure, compare)</li> <li>• Dashboards</li> <li>• Reports</li> <li>• <u>Feedback</u></li> </ul>

## 4 Applicable Documents

The following documents are relevant to the NG9-1-1 Governance Policy for the state of Kansas.

### 4.1 Federal Standards

- a) NENA NG911 Standards



- b) USPS Publication 28
- c) Americans With Disabilities Act of 1990, Pub. L. No. 101-336, § 1, 104 Stat. 328 (1990)

#### 4.2 State Standards

- a) Kansas 911 Act
- b) Kansas NG911 Strategic Plan, latest revision
- c) Kansas NG9-1-1 GIS Data Model v1.0
- d) Kansas NG911 Governance Policy

## 5 Scope and Purpose

This is a living document and it is anticipated that additional policy areas will be added over time.

The purpose of this Governance Policy is to facilitate the transition from E9-1-1 to the NG9-1-1 environment. That transition is best accomplished through frequent communication, constant collaboration and consistent cooperation of all stakeholders. Table 1 illustrates the wide variety in the stakeholder group. While this list is extensive, it is recognized as only a partial list of the full stakeholder group.

Stakeholders			
Council Staff	Local Government IT	Local Government IT	Kansas GIS Policy Board partnership
PSAPs	Local Government GIS	City Managers	Data Access and Support Center (DASC)
Mainstream Nonprofit Solutions, Inc.	Sheriffs	City Councils/Commissions	GIS Data Maintenance Vendors
Legislature	Chiefs of Police	Other Local Government Officials	County Appraisers
Kansas Association of Counties (KAC)	Fire Chiefs	MARC	Registers of Deeds
League of KS Municipalities (LKN)	EMS Administrators	KDOR	GIS Educators
Fire Chiefs Association	County Clerks	KHP	KDOT
KSA (KS Sheriff Assoc)	County Administrators	KCJIS	KDOR/PVD
KS Police Chief Assoc	County Commissions	KDEM	Utility Companies
Board of EMS (Emerg Med Assoc)	911 Standards Bodies	PSAP System and Software Vendors	USPS
Emergency Management	Neighboring States	Telephone Service Providers	NWS

Table 1 - Stakeholders



## 6 Governance Policies

### 6.1 Executive Committee (Council Chairman)

The Executive Committee's role includes:

- Provide day-to-day operations decision making;
- Develop for consideration by the Council, the administrative and financial policies for the implementation and ongoing oversight of the Kansas NG911 system;
- Develop Kansas Administrative Regulations as needed to administer the 911 Act and the NG911 system operation;
- Facilitate strategic planning processes and periodic updates to the strategic plan in collaboration with other Council Committees and external stakeholders;
- Monitor the financial capabilities of PSAP jurisdictions and to recommend funding mechanisms appropriate for the timely transition of PSAPs to NG911 service;
- Facilitate development of policies and agreements needed to implement multi-jurisdictional collaboration in the provision of NG911 service;
- Recommend to the Council the agreements for entering into NG911 services with regional ESInets, adjoining states and potential partners such as FirstNet.

The Executive Committee provides the framework for the Council to adopt and implement general administrative and financial policies, and regulations that will guide the Coordinating Council in its decision making and statutory oversight role, as well as provide to local governments, PSAPs, vendors and other stakeholders the needed guidance, vendor contracts, and system policies that will facilitate the transition to NG911 services and the ongoing delivery of such services. This Committee provides liaison with state and local policy making bodies, state agencies and with the legislature to facilitate collaboration of services and implementation of Council policies.

### 6.2 Operations Committee (Josh Michaelis)

The Operations Committee role includes:

- Develop operational policy for the Kansas NG911 Statewide Call Handling System
- Recommend operational guidance to PSAPs for daily operations
- Conduct annual 911 expenditure review for compliance with statutory limitations on the expenditure of those funds
- Develop public education programs for new features implemented on the system
- Develop training standards for technology implemented on the system and the operation thereof
- Recommend training standards for PSAP operations
- Develop and execute communication of policy and procedures adopted by the Council to 911 stakeholders
- Develop and execute a communications plan addressing funding philosophy, training standards, expenditure reporting, state grant fund philosophy and implementation, and minimum PSAP operational requirements.

The Operations Governance Policy is set forth in its entirety in section 6.2.1 below.



## 6.2.1 Operations Governance Policy

### 6.2.1.1 Introduction

Whereas current 911 services are typically regulated locally, Next Generation 911 (NG911) is regulated by the Kansas 911 Coordinating Council (Council), while allowing Public Safety Answering Points (PSAPs) the greatest latitude and freedom without compromising the integrity of the Kansas NG911 system or citizen safety.

### 6.2.1.2 Scope

These operational standards apply to all participating PSAPs in the state of Kansas.

### 6.2.1.3 Purpose

The purpose of this NG911 Operational Governance Policy (Policy) document is to provide details regarding the operational policies and procedures as they relate to and support the statewide governance of NG911. In order to create practical operational policies, the Operations Committee, Training Subcommittee and stakeholders must work together to develop and implement essential policies and establish accountability to ensure seamless 911 operations throughout Kansas.

Participating PSAPs in the state of Kansas shall comply with NG911 policies and procedures adopted by the Council, and promote best practices aimed at providing the highest quality of 911 services by trained personnel using reliable and secure technology.

PSAPs will develop, disseminate, and maintain formal documented procedures to facilitate the implementation of this Policy. The Council invites all PSAPs to recommend improvements to this Policy. Stakeholders can recommend changes using the Change Order Request (COR) and NG911 Change Management process. Appendix C contains a sample of a completed COR. Authorized personnel can access blank COR forms via the portal and submit completed forms electronically to the Change Manager.

### 6.2.1.4 Reference Documents

- NG911 Change Management Plan
- NG911 Communications Plan
- NG911 Governance Plan
- NG911 Memorandum of Agreement
- NG911 Security Policy
- NG911 Strategic Plan
- NENA Call Answering Standard/Model Recommendation

### 6.2.1.5 Communications Plan

PSAP success is created by providing a region-level voice and communications vehicle for understanding between a PSAP and the Council. It is important that PSAPs maintain the ability to communicate their needs. At the same time, the 911 Liaison will keep PSAP personnel apprised of pending system changes, technology, legislation, and other issues that may affect the PSAP.

To simplify communications, the Homeland Security regions in which the counties currently participate are the basis for the general regional boundaries.



The NG911 Governance Plan and supporting policies are part of the PSAP Memorandum of Agreement (MOA) and are posted on the Council website. Program directives communicate updates and changes to the Governance Plan and its policies.

#### 6.2.1.6 Roles and Responsibilities

From an operations perspective, the ability to achieve the true potential of NG911 will require significant change to current methods. Historically, 911 in Kansas has been governed by local authorities; however, NG911 will require regional and interregional coordination as well.

The NG911 Administrator is responsible for supporting the implementation of an Operational Conformance Certification process, Appendix B.

The 911 Liaison is the single point of contact for 911 operational issues.

The 911 Liaison, NG911 Administrator, and Operations Committee Chairperson will work together to resolve 911 operational issues. Through the 911 Liaison and NG911 Administrator, PSAPs have a voice and access to the Council.

The Operations Committee collaborates with the other Council Committees to coordinate work activities and recommendations that affect other working groups under the jurisdiction of the Council. The Operations Committee is responsible for developing operational governance policies and PSAPs are responsible for implementing and complying with those policies.

Figure 1 is a graphical representation of the governance relationships.

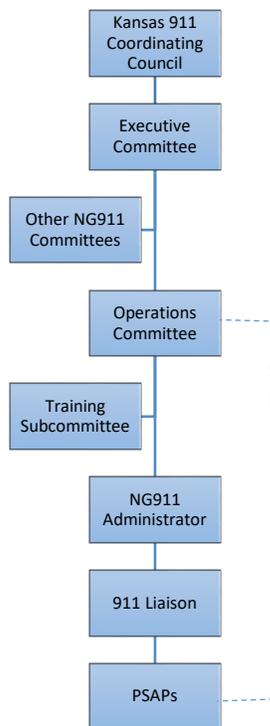


Figure 1 Operations Governance Relationships



In relation to NG911, the intended role of the Operations Committee in the governance of the Emergency Services Internet Protocol network (ESInet) is to provide for 911 entity collaboration on the management of the ESInet, collective decision-making, and assurance that the needs of 911 entities are met.

The matrix in Table 1 depicts the relationships between governing authorities, operations, and the expected policy documents, activities, and outcomes from each level. The first column identifies the governance authorities – stakeholders – and articulates the primary task associated with the respective role. The second column identifies the level of stakeholders with direct responsibility to produce the content in the third column – tangible deliverables in the form of documents and activities.

Table 2 Governance Responsibility Matrix

Governance Authority →	Relationship to Operations →	Policy Documents and Activities
<b>911 Coordinating Council</b>  <i>Final authority accepting 911 operational policies</i>	<b>Executive Committee</b>  <i>Operations advisor to Council</i>	<b>Operational Oversight:</b>  <i>Provides vision and direction for 911 operations</i>
<b>Executive Committee Oversees:</b>		
<b>NG911 Administrator</b>  <i>Responsible for oversight of all Council projects and activities, including the Operational Conformance Certification process</i>	<b>911 Liaison</b>  <i>PSAP operations primary contact, follow-up, and feedback</i>	<b>NG911 Operations Audit:</b>  <i>Periodic PSAP assessments and evaluations</i>
<b>Operations Committee</b>  <i>Operational advice to the 911 Coordinating Council from an operational perspective</i>	<b>Operations Committee</b>  <i>Provides for 911 entity collaboration on management of ESInet, coordinates with other Council committees</i>  <b>Training Subcommittee</b>  <i>Integrates initial and continuing operational training</i>	<b>Operational Directives:</b>  <i>Operational policies and procedures</i>  <i>Operational training announcements as required for certification</i>
<b>Technical Committee</b>  <i>Responsible for technology and equipment standards; oversight of NG911 planning and implementation</i>  <i>Security direction and evaluation for the ESInet and NG911 core services</i>	<b>Technical Committee</b>  <i>Provides technical direction and coordinates with other Council committees</i>  <b>Security Subcommittee</b>  <i>Establishes and administers security</i>	<b>Technical Directives:</b>  <i>Technical and equipment standards, policies, and procedures</i>  <b>Security Policy and Standards:</b>  <i>Stipulate compliance</i>

Governance Authority →	Relationship to Operations →	Policy Documents and Activities
	<i>program</i>	<i>requirements</i>
<b>Executive Committee</b>  <i>Governance, policy enforcement, and independent operational audit</i>	<b>Executive Committee</b>  <i>Provides administrative direction and coordinates with other Council committees</i>  <b>911 Administrator</b>  <i>Evaluates 911 operations financial impacts</i>	<b>Executive Directives:</b>  <i>Administrative policies and procedures</i>  <b>NG911 Strategic Plan:</b>  <i>Establishes NG911 roadmap for the future</i>
<b>GIS Committee</b>  <i>Operational advice from GIS perspective</i>	<b>GIS Subcommittee</b>  <i>Determines potential GIS data operational requirements</i>	<b>NG911 Data Model, Data Remediation Checklist, and GIS Governance Policy:</b>  <i>Defines GIS data operations compliance</i>
<b>NG911 Administrator Oversees:</b>		
<b>911 Liaison</b>  <i>PSAP point of contact</i>  <i>Addresses Operations and Maintenance (O&amp;M) perspective</i>	<b>PSAP Operations Manager/ Supervisor</b>  <i>Ensures that local PSAPs comply with operational requirements of MOA</i>	<b>MOA:</b>  <i>PSAP agreement to comply with NG911 operations policy</i>
<b>Change Advisory Board</b>  <i>Addresses high-impact operations related CORs</i>	<b>Change Control Board(s)</b>  <i>Addresses low- and medium- impact operations related CORs</i>	<b>NG911 Change Management Plan:</b>  <i>Formal control mechanism for operational changes</i>
<b>Infrastructure Providers</b>  <i>Furnishes end-to-end solution that includes Software as a Service (SaaS) that meets PSAP functional requirements</i>	<b>Service Provider Operations Team</b>  <i>Comply with service level requirement agreements</i>	<b>Provider Operations Statement:</b>  <i>NG911 infrastructure operational compliance with federal, state, and industry best practice requirements and expectations</i>

### 6.2.1.7 Training

Training for all PSAP administrators and telecommunicators is required for the technology, and operation of such, provided as a part of the Kansas NG911 Statewide Call Handling System (system). PSAPs must meet the training requirements for the technology and operations of it as set forth below



and in Kansas Administrative Regulations. PSAPs are encouraged to understand and meet the training requirements provided in the Kansas Training Standards, including continuing education training.

Training Policy, both mandated and recommended, is developed and managed by the Training Subcommittee and is intended to facilitate the delivery of consistent statewide training to PSAP personnel and to develop well-trained telecommunicators who provide high-quality 911 services to the public and responder agencies.

The mandatory training standards require PSAP personnel who may operate any equipment or technology provided by the Kansas NG911 hosted solution to meet the following standards:

- Must demonstrate proficiency on all appropriate tools, equipment, and technology provided by the Kansas NG911 hosted solution, which they may be expected to operate within the public safety communications center.
- Shall demonstrate the ability to create, access, and update incident data.
- Shall demonstrate the ability to utilize existing communications tools, and/or available technologies to meet operational needs in both normal and back-up modes.
- Shall demonstrate the ability to operate hosted solution computer systems.
- Shall demonstrate the ability to operate hosted solution records management systems.
- Shall demonstrate the ability to operate hosted solution telephone systems (including, integrated administrative systems, TTY/TDD and other equal access technologies).
- Shall demonstrate the ability to maintain hosted solution equipment functionality within established parameters.
- Shall demonstrate the ability to use evolving and emerging technologies; (e.g. telematics, NG9-1-1, Broadband, etc.), when applicable.

#### 6.2.1.8 PSAP Operations Management (Recommended)

No one understands local citizens' 911 needs more than local PSAPs. Many areas of responsibility of how changes will continue to be developed, implemented, controlled, and guided is by local PSAP decisions.

This Policy document is created to establish recommended minimum guidelines for operational consistency between and among PSAP entities to ensure coordinated and uniform service for the citizens of Kansas.

#### 6.2.1.9 Operational Policies and Procedures

Through the MOAs, PSAPs are encouraged to follow Operational Governance policy and procedures as outlined in Appendix A.

As a starting point for establishing NG911 operational policy among Kansas PSAPs and jurisdictions, each PSAP is encouraged to have a set of policies and procedures that govern the PSAP operational elements listed in Table 2.



Table 3 Expected Policies and Procedures

Baseline Operational Policies, Procedures, and Best Practices		
Requirements		Recommendations
GIS		Emergency Medical Dispatch (EMD)
Funding	Call Answering	Quality Assurance (QA)
NG911 Change Management	Facility Design	Language Interpretation Service
Security	National Incident Management System (NIMS)	PSAP NG911 Plan
Technical	NG911 Functionality	Staffing
Training	Operational Oversight	Statistical Reporting and Analysis
<b>American's with Disabilities Act (ADA) Compliance</b>	Operational Technology – PSAP Equipment	

#### 6.2.1.10 Change Management

To promote reliable and effective public access to 911 services, safeguard the resiliency, and achieve optimal functionality of the NG911 network, PSAPs must follow the established change management process related to policies and procedures outlined in the NG911 Change Management Plan.

By adhering to NG911 Change Management processes, PSAPs reduce the risk of creating unintentional consequences from ad hoc operational policy changes that could negatively impact the entire 911 system. A practical change management process that safeguards the technical aspects of the 911 network from negative impact and that depends on local jurisdictional support stimulates the overall health of the 911 system for all entities on the Kansas NG911 network. Compliance promotes integrity of the system, which results in an enhanced experience for both telecommunicators and callers statewide.

The full NG911 Change Management Plan may be accessed on-line at <http://kansas911.org/106/NG911/Governance>

#### 6.2.1.11 Operational Governance Schedule

The operational governance schedule provides direction on the timeline of activities that key stakeholders are expected to accomplish to develop, promote, and monitor policies for accuracy, consistency, and compliance.

Each year, in collaboration with all stakeholders, the Operations Committee will establish, coordinate, communicate, and accomplish a calendar of activities as shown in Table 3. Meetings are open to the public and the Operations Committee welcomes the involvement and interaction with counties and PSAPs. However, some preparatory meetings are not open to the public or subject to disclosure. For example, sessions dealing with procurement issues, if open to the public, would compromise the integrity of the procurement process. Likewise, discussion of proprietary or confidential data or trade secrets of a corporation is not open to public. In addition, some executive meetings may be closed in order to discuss preliminary or sensitive topics that are not yet fully vetted for public disclosure.



Table 4 Governance Activities Schedule

Operations Activity	Purpose	Schedule	Outcome
<b>Operational Governance Policy and Procedure Training</b>	Overview of the governance policies and procedures, including latest national and state NG911 program developments	Region 1 – May Region 2 – July Region 3 – Sep Region 4 – Nov Region 5 – Jan Region 6 – Mar	Stakeholder education and setting of expectations
<b>PSAP Audits</b>	Provide insight to type of audits, timing of audits, and expectations of audits  Conduct an NG911 Operational Governance Policy audit	Annually	Results included in annual regional report including confirmation that PSAP administrators and telecommunicators are trained so that they can effectively and efficiently manage 9-1-1 calls  Effective use of change management  Ensure conformance to operational policy and procedures
<b>Committee Periodic Review</b>	In partnership, the NG911 Administrator, 911 Liaison and PSAP operations managers/ supervisors review this document and make recommendations for additions, deletions and/or revisions of the policies and procedures to the Operations Committee	Annually	Updates to policies consistent with lessons learned, new features, and operational methods
<b>Policy Review and Alignment</b>	Operations Committee review of periodic review and recommendations to Council	Annually	Policy aligned with operations and current standards, guidelines, and expectations of Council
<b>Strategic and Operational Planning</b>	Update Strategic Plan for existing conditions	Annually in October	Strategic Plan  Operations Work Plan



#### 6.2.1.12 Terms, Definitions, Acronyms

**Operations Manager/Supervisor.** This role has primary responsibility for operational oversight of the PSAP. The person filling this role possesses intimate knowledge of day-to day PSAP operations.

**PSAP.** An abbreviation for a Public Safety Answering Point operated by a city or county that operates on a 24-hour basis and whose primary function is to receive incoming 911 requests for emergency assistance and relay those requests to the appropriate public safety responder or agency.

**Telecommunicator.** A person who answers incoming 911 requests for public safety assistance.

**Temporary PSAP.** A PSAP that has been established to provide 911 services for a defined geographic area for a limited time/duration.

ADA	Americans with Disabilities Act
APCO	Association of Public-Safety Communications Officials, International
COOP	Continuity of Operations Plan
COR	Change Order Request
DASC	Data Access and Support Center
DOJ	Department of Justice
DOT	Department of Transportation
EMD	Emergency Medical Dispatch
EOP	Emergency Operation Plan
FEMA	Federal Emergency Management Agency
GIS	Geographic Information System
KAR	Kansas Administrative Regulation
LEP	Limited English Proficient
MIS	Management Information System
MOA	Memorandum of Agreement
NENA	National Emergency Number Association
NG911	Next Generation 911
NIMS	National Incident Management System
PSAP	Public Safety Answering Point
QA	Quality Assurance
SOP	Standard Operating Procedure
TTY/TDD	Teletypewriter/Telecommunications Device for the Deaf
UPS	Uninterruptible Power Supply



#### 6.2.1.13 Appendix A – Recommended PSAP Operations Policies / Procedures

Policies and procedures, and rules and regulations, provide structure and aid in 911 system management. The Council developed the policy and governance hierarchy to assist in establishing procedures and regulations and promote consistent service throughout the state. All 911 policies and regulations should be developed in a consistent manner throughout the state, utilizing the hierarchical structure to ensure input, acceptance, and compliance.

The Operations Committee will prepare, review, and implement well-defined operational policies to ensure compliance with technical and administrative policies and regulations. These operational policies should allow for the consistent performance of fundamental processes that ensure efficient and effective operation of the statewide NG911 system. The policies will, in turn, guide the process for effective and comprehensive training of PSAP and support personnel. Operational governance policies and procedures will likely evolve, over time, as new NG911 features capabilities become part of the Kansas system. Stakeholders should identify and adopt processes combined with the necessary record keeping. These processes capture both the functional capability and develop of an effective internal control system compliant with regulations and standards.

The 911 Liaison will work closely with PSAP operations managers, supervisors, public safety providers, and telecommunicators to develop appropriate standard operating procedures (SOPs) relating to PSAP operations, upon request. It is recommended that each PSAP review their operational procedures at least annually with the 911 Liaison; make them part of the training program; and make them accessible to all PSAP personnel. These documents should also include any inter-local agreement(s) that exist between the PSAP and other agencies or entities.

Upon request, the 911 Liaison will evaluate primary PSAPs' operational governing policies and procedures for compliance with State of Kansas Coordinating Council governance.

#### 6.2.1.14 Recommended Policy Elements

The Council recommends that each Kansas PSAP have written policy and procedure addressing each of the following topics:

##### **(1) Geographic Information System**

The GIS and associated statewide data layers are the cornerstone of an NG911 system. All location information required to support NG911 call routing will be derived from the statewide geo-spatial database; therefore, it is vital that this information is accurate, authoritative, standardized, current, and highly available. Policies governing all aspects of GIS (people, processes, data, and systems) are contained in the NG911 Geographic Information System Governance Policy.

At a minimum, participating PSAP-specific policy should include:

- Utilizing map data derived from Kansas Data Access and Support Center (DASC).
- At a minimum, GIS data includes address points, road centerlines, and emergency service boundaries, and/or responding entity polygons, and PSAP boundary polygons. (This data will be developed and locally maintained and aggregated into a statewide geodatabase.)



- GIS discrepancy reporting processes.

## **(2) Funding**

Participating PSAPs shall comply with Kansas funding policy (K.S.A 12-5375).

Access the full state Kansas 911 Act on-line at <http://kansas911.org/DocumentCenter/View/146>.

At a minimum, participating PSAP specific policy should include:

- Funding philosophy.
- Expenditure reporting processes and authority levels.
- Audit procedures.

## **(3) Security**

Network and physical security policies and procedures are required to ensure and maintain the health of the network infrastructure and subsequent interconnections. These will be developed in the same manner as other policies and procedures within the governance framework of the Council. Participating PSAPs shall comply with the NG911 Network and Security policies adopted by the Council.

Access the full Security Policy on-line at <http://kansas911.org/106/NG911/Governance>

At a minimum, participating PSAP-specific policy should include:

- Sufficient building security to minimize the possibility of intentional disruption of operations.
- Answering equipment accessible only to PSAP personnel.
- 911 personnel and equipment housed in a secure location with appropriate measures taken to allow access to authorized personnel only.
- A process for reporting internal PSAP security issues or breaches, including any personnel or management notifications that are appropriate
- PSAP personnel prohibited from accessing any open ports on workstations, switches or other devices that are a part of the NG911 system

## **(4) Technical**

At a minimum, participating PSAP-specific policy should include:

- Internal documentation processes that safeguard connectivity to the NG911 network and effective oversight to promote resiliency of PSAP systems.
- Clarity of internal reporting processes to identify and report technical issues.
- An issue resolution and escalation process.

## **(5) Training**



Training programs, properly designed, will assist PSAP operations managers and supervisors to prepare PSAP personnel to effectively manage and operate an NG911 system, while maintaining the level of service expected by the public. Updated initial training, as well as continuing education and refresher training for experienced staff, is critical to successfully maximizing the capabilities of an NG911 system.

The Training Subcommittee will oversee the development, and revision of recommended training standards and continuing education for PSAP personnel.

It is recommended that all Kansas PSAPs at a minimum include the following in their policy in regards to training:

- Any person who answers 911 requests for service will be trained to the baseline training standards within their first six months of employment and before handling such 911 requests without direct oversight.
- Any person working in a PSAP and receiving 911 requests for service shall be required to meet the continuing education training standards. The baseline training standards include all subjects contained within the State of Kansas Training Standards.
- As approved by the Training Subcommittee, the baseline and continuing education training standards should be in accordance with established national standards provided by the National Emergency Number Association (NENA), the Association of Public-Safety Communications Officials International (APCO), the Department of Transportation (DOT), and other official standard development organizations (SDOs).

Access the full State of Kansas Training Standards document on-line at <http://www.kansas911.org/documentcenter/view/476>

#### **(6) Americans with Disabilities Act Call Handling Compliance**

The Council recommends that all Kansas PSAPs adopt policy and comply with federal Americans with Disabilities Act (ADA) requirements for handling ADA calls. The ADA requires that all PSAP call takers receive training every six months on Teletypewriter/Telecommunications Device for the Deaf (TTY/TDD) operations and ADA awareness.

At a minimum, participating PSAP-specific policy should include:

- A process for periodic testing and a method for documenting test results of the PSAP TTY/TDD equipment to ensure it is functioning properly.
- A process for documenting a telecommunicator's demonstration of, knowledge of, and ability to properly operate TTY/TDD equipment and handle 911 calls from these devices.



- An understanding that the Department of Justice (DOJ) conducts testing to ensure that appropriate procedures are followed in dealing with silent calls and TTY/TDD calls by placing random test calls to PSAPs within the United States.

The DOJ, Civil Rights Division, provides information on the requirements of the ADA on its home page at <http://www.ada.gov/>. They include 911 requirements at <http://www.ada.gov/911ta.pdf>, and a technical manual at <http://www.ada.gov/taman2.html>.

Additional information is provided, including a Tool Kit to help understand the issues, at <http://www.ada.gov/pcatoolkit/abouttoolkit.pdf> and ADA Best Practices Tool Kit for State and Local Governments at <http://www.ada.gov/pcatoolkit/chap4toolkit.htm>

## **(7) Call Answering**

The Council recommends that each Kansas PSAP adopt policy that complies with 911 call answering standards.

At a minimum, participating PSAP-specific policy should include:

- Requirements that 95 percent of all 911 calls received will be answered within 15 seconds and 99 percent of all 911 calls received will be answered within 40 seconds.
- The frequency with which this requirement will be monitored and reported on to appropriate PSAP management personnel.
- The chain of command for making sure the requirement is met.

## **(8) Facility Design**

The Council recommends that all PSAP adopt policy that addresses facility design standards.

At a minimum, participating PSAP-specific policy should include:

- At minimum, one alternate/emergency power supply capable of supporting (maintaining) 911 call handling/processing equipment and necessary related public safety (communications) services for a minimum of 24 hours.
- An uninterruptible power supply (UPS) and battery system installed and sufficient enough to prevent power surges and provide continuous power to designated essential 911 related systems and equipment until the generator or other backup power source can fully activate.
- A documented process for periodic and regular exercising of the UPS and battery backup systems to determine the functionality of the systems.
- An Emergency Operations Plan (EOP), Evacuation Plan, and a Continuity of Operation Plan (COOP) for 911 operations and staff.
- Multiple methods of notification to response agencies.



- A physical facility security system to limit access to authorized personnel.
- A minimum of two 911 “lines” and two 911 answering devices in addition to a minimum of one “line” available for outbound dialing only.

A temporary PSAP is a PSAP that has been established to provide 911 services for a defined geographic area for a limited time/duration. If a temporary PSAP is established for an unplanned event/emergency, mandated standards shall become best practices applicable to the temporary PSAP for the duration of the emergency.

A temporary PSAP may be established in the following situations:

- A planned special event with a defined duration. (e.g., convention, sporting event, state/county/local fair).
- An unplanned situation requiring the temporary relocation of an existing PSAP.
- Any natural or man-made disaster or public safety critical incident or special operation requiring localized incident management/command post operation where establishing a temporary PSAP would benefit citizens and/or public safety responders.

#### **(9) National Incident Management System**

The Council recommends that all Kansas PSAPs adopt policy that requires compliance with National Incident Management System (NIMS) training standards.

NIMS Compliance and Training information is available at <http://www.fema.gov/emergency/nims/index.shtm>.

#### **(10) NG911 Functionality**

Participating PSAPs are required to participate in coordinated implementation of baseline NG911 functions and features as approved by the Council. Anticipated NG911 functions and features include, but are not limited to, multimedia such as text, picture, and video, and telematics to 911.

At a minimum, participating PSAP-specific policy should include:

- Project management methodology.
- Process for documenting and reporting of discrepancies or problems identified with the geo-spatial data, call routing, or a 911 record.

#### **(11) Operational Oversight of NG911 System Technology**

The 911 Liaison will have the authority to ensure member PSAP compliance with established technical, operational, and training standards set forth in this document and approved by the



Council in regard to the technology and operation thereof, of all equipment provided as a part of the Kansas NG911 Statewide Call Handling System.

## **(12) Operational Technology of PSAP Equipment**

The Council recommends that all Kansas PSAPs adopt policy that ensures compliance with technology standards, including the following:

- PSAP will have the capability of logging/recording all 911 requests for service including voice, data, video, and other media used.
- PSAPs will retain recordings in accordance with state law and local records retention requirements.
- PSAP will provide a system for dispatching and maintaining the status of responding resources in the field and the archiving of incident information.

At a minimum, participating PSAP-specific policy should include:

- Processes for reporting and documenting trouble conditions (functionality issues, broken equipment, and interoperability of equipment).
- Escalation procedures for trouble resolution in a timely manner for continued PSAP operations and functionality.

## **(13) Quality Assurance**

The Council recommends that all Kansas PSAPs adopt policy to ensure compliance with Quality Assurance (QA) standards.

At a minimum, participating PSAP-specific policy should include:

- A QA policy.
- Development of an NG911 call taking QA Program to improve telecommunicator performance and call answering processes, based on an agency's SOPs and NENA and APCO call taking standards.
  - Random samples of each telecommunicator's 911 calls reviewed on a monthly basis to assure all calls meet the agency requirements.
  - All special incidents involving life-threatening calls, catastrophic loss or major incidents should be included in the review process.
- The QA review process concentrates on the evaluation of the individual call taking performance; however, the entire emergency communications process should also be evaluated for improvements. All call taking personnel are evaluated and provided with timely feedback according to consistent agency standards. The reviews identify



personnel that require remedial or supplemental training and any SOP that requires process modifications.

- Appropriate documentation procedures to record the QA reviews conducted, findings, and any follow up action needed.

#### 6.2.1.15 Recommended Best Practices

The Council recommends the following as best practices and encourages all Kansas PSAPs to develop these programs to ensure consistent service throughout the state:

##### **(1) Emergency Medical Dispatch**

It is recommended as a best practice that participating PSAPs adopt the use of Emergency Medical Dispatch (EMD) protocols:

- PSAPs are strongly encouraged to adopt an EMD protocol and have related QA procedures in place for the purpose of providing pre-arrival medical instructions during a 911 request for emergency medical services (EMS).
- EMD protocols should be in accordance with established standards set forth by the National Highway Traffic Safety Administration.

At a minimum, participating PSAP-specific policy should include:

- All telecommunicators that handle EMS requests be certified as an emergency medical dispatcher.
- A PSAP personnel documentation process for tracking certification expiration dates and the required recertification continuing education hours.

##### **(2) Language Interpretation Services**

It is recommended as a best practice that participating PSAPs have access to a language interpretation service. Civil Rights Title VI and federal agency regulations inform recipients of federal financial assistance that they have a responsibility to take reasonable steps to provide Limited English Proficient (LEP) individuals with meaningful access to their programs and activities.

At a minimum, participating PSAP-specific policy should include:

- A process for periodic testing and a method for documenting test results of the PSAP's connectivity with their language interpretation provider.
- A process for documenting telecommunicator knowledge of and ability to properly handle 911 calls that require language interpretation services.



The DOJ provides information on the requirements at <http://www.usdoj.gov/crt/cor/Pubs/eolep.php>.

In addition, the DOJ provides Executive Order 13166, *Limited English Proficiency Resource Document: Tips and Tools from the Field*, which includes 911 call centers; this document is available at [http://www.usdoj.gov/crt/lep/guidance/tips\\_and\\_tools-9-21-04.htm#1](http://www.usdoj.gov/crt/lep/guidance/tips_and_tools-9-21-04.htm#1).

### **(3) PSAP NG911 Emergency Operations Plan**

It is recommended as a best practice that participating PSAPs have an NG911 Emergency Operations Plan that includes continuity of operations, emergency 911 call routing, and a 911 discrepancy reporting process for errors or trouble.

### **(4) Staffing**

It is recommended as a best practice that PSAPs employ a sufficient number of telecommunicators to allow for prompt receipt and processing of emergency calls in accordance with established call answering standards adopted by the Council.

At a minimum, participating PSAP-specific policy should include:

- A minimum of two telecommunicators be on duty and available to receive and process calls at all times.
- Telecommunicators not be assigned duties that would prohibit or impede the center's ability to receive and process emergency calls within established standards.
- SOPs ensure telecommunicators prioritize emergency functions over non-emergency functions.
- Sufficient supervision to promote effective monitoring, support, guidance, and direction for telecommunicator personnel.
- PSAP leadership oversees recruiting and retention of PSAP staff.
- Adequate recruitment and retention procedures and process to ensure a fully trained and full personnel complement for the PSAP jurisdiction and call load.

### **(5) Statistical Reporting and Analysis**

It is recommended as a best practice that PSAPs review data monthly to identify network or communication issues, equipment problems, time thresholds discrepancies, or the need for staffing adjustments.

The statewide NG911 solution will provide participating PSAPs with the statistical data collection for analysis of the following statistics:

- Total 911 call volume
- 911 calls by hour of day
- 911 calls by day of week



- 911 call ring/answering times
- 911 call roll over counts
- 911 abandoned call counts
- 911 calls by type (wireline/wireles/voice over Internet Protocol [VoIP]/text/etc.)