ADS Chapter 531
Continuity of Operations (COOP) Program

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ADS 531 -- Continuity of Operations (COOP) Program

531.1 OVERVIEW

Effective Date: 08/08/2013

This chapter provides direction, policy, and best practices for the development, maintenance, testing, training, and exercising of the USAID Continuity of Operations Program, in accordance with applicable law, regulations, and federal continuity policy.

This chapter identifies a scalable, flexible, and adaptable coordinating structure to align key roles and responsibilities with response operations when USAID offices or personnel are affected or damaged by an incident or disruption. **ADS 531** serves to link all USAID personnel, offices, and Bureaus/Independent Offices (B/IOs) into a partnership that play vital roles in safeguarding and preserving continuity of USAID's operations. As such, this chapter is a companion document to other ADS chapters as well as other emergency management plans and procedures.

It is USAID policy to implement the procedures, establish roles and responsibilities, and coordinate the intra-agency partnerships contained in this chapter. In accordance with the **U.S. Department of Homeland Security (DHS)** regulations and other applicable directives and policies listed in **531.4.1**, as well as industry best practices, the provisions of this chapter are applicable to all USAID offices, personnel, and contractors -- regardless of their location.

USAID COOP Program Objectives

The objectives of the USAID Continuity of Operations (COOP) Program are:

a. Ensuring that USAID can perform its essential functions under all conditions;

b. Reducing the loss of life and minimizing property damage and loss;

c. Executing a successful order of succession with accompanying delegation of authorities in the event of a disruption that renders USAID's leadership and key personnel unavailable or incapable of assuming and performing their authorities and responsibilities of the respective office;

d. Reducing or mitigating disruptions to USAID's operations;

e. Ensuring that there are adequate facilities from which USAID can perform essential functions;

f. Protecting personnel, facilities, equipment, records, and other assets critical to the performance of essential functions in the event of a disruption;

g. Achieving USAID's timely and orderly recovery and reconstitution from an emergency; and

h. Ensuring and validating continuity readiness through a dynamic and integrated continuity Tests, Training, and Exercises (TT&E) program and operational capability.

531.2 PRIMARY RESPONSIBILITIES

Effective Date: 08/08/2013

a. The **USAID Administrator** is responsible for:

- Appointing the USAID Continuity Coordinator,
- Ensuring the USAID Continuity Program is properly resourced,
- Activating the COOP Plan, and
- Providing leadership during continuity plan activations and exercises.

During continuity incidents, the USAID Administrator appoints one or several incident commanders (to work consecutively if 24-hour operations are required). Unless the USAID Administrator delegates authority to an incident commander, the USAID Administrator is the de facto incident commander.

b. The **USAID Continuity Coordinator** is a senior accountable executive at the assistant secretary or equivalent level who is appointed by the USAID Administrator. He/ She ensures continuity capabilities in USAID, and provides recommendations for continuity policy. The USAID Continuity Coordinator is supported primarily by the USAID Continuity Manager and by Bureau/Independent Office (B/IO) Continuity Coordinators at their subordinate levels throughout USAID.

c. The **USAID Continuity Manager:**

- Manages the day-to-day USAID continuity program,
- Represents USAID at interagency continuity working groups, as appropriate; and
- Reports to the USAID Continuity Coordinator on all continuity program activities.

d. Each **Bureau/Independent Office (B/IO)** is responsible for providing a primary and secondary Continuity Coordinator to represent the B/IO within the USAID Continuity Working Group (CWG). The USAID CWG meets monthly and is chaired by the U.S. Continuity Manager. The purpose of the USAID CWG is to prepare for continuity exercises; improve planning and readiness among B/IOs; and facilitate communication between the USAID Continuity Manager and the B/IO Continuity Coordinators.

e. The **USAID Vital Records Officer** is responsible for developing courses of action for:

- Record protection and salvage operations,
- Selection of recovery vendor(s) for service that may be used during an incident impacting records,
- Development of the damage assessment process for impacted records,
- Coordination of recovery efforts with the Records Recovery Teams,
- Development and dissemination of emergency procedures to Records Recovery Team members and other necessary parties,

as well as evaluation of the overall effectiveness of the USAID essential records program. The USAID Essential Records Officer is responsible for coordinating and assisting the USAID Continuity Manager.

f. The **USAID Telework Managing Officer (TMO)** is a senior-level official who is devoted to policy development and implementation related to USAID's telework program. The TMO serves as an advisor for Agency leadership, a resource for managers and employees, and is USAID's primary point of contact for OPM on telework matters. In accordance with the **Telework Enhancement Act of 2010**, the USAID TMO assists the USAID Continuity Coordinator and USAID Continuity Manager in developing an unscheduled telework strategy, capacity, and capability for use during continuity incidents.

g. The **USAID Reconstitution Manager** identifies, coordinates, and trains personnel who will support reconstitution operations. The Reconstitution Manager oversees reconstitution planning and operations--beginning immediately after the incident begins. The Reconstitution Manager reports to the USAID Continuity Manager for preparedness and training activities and to the USAID Incident Commander during the response and recovery phases of an incident and exercises.

h. The **USAID Devolution Manager** serves as the Continuity Manager at the USAID Devolution Site. The purpose of the Devolution Manager is to manage the daily activities of the devolution preparedness program at the devolution site. The USAID Devolution Manager reports to the USAID Continuity Manager and is responsible for preparedness activities at the USAID Devolution Site.

i. The **USAID Devolution Reconstitution Manager** identifies, coordinates, and trains personnel who will support reconstitution operations from a devolved state. The Devolution Reconstitution Manager oversees reconstitution planning and operations--beginning immediately after the devolution begins. The Devolution Reconstitution

Manager reports to the USAID Continuity Manager for preparedness and training activities and to the USAID Devolution Incident Commander during the response and recovery phases of devolution and devolution exercises.

j. In accordance with **Homeland Security Presidential Directive 5 (HSPD–5)**, USAID is required to utilize the Incident Command System (ICS) during incidents or disruptions. As such, the USAID Administrator is the de facto **incident commander** for USAID continuity plan activations. As appropriate, the USAID Designated Official has been delegated with incident command authority. The incident commander is responsible for all aspects of an emergency response, including:

- Developing incident objectives,
- Managing incident operations, and
- Application of resources, as well as responsibility for all persons involved.

The incident commander sets priorities and defines the organization of the incident response teams (including the USAID Emergency Relocation Group (ERG)) and the overall incident action plan. Even if subordinate positions are not assigned, the incident commander position will always be designated or assumed.

k. The **Devolution Incident Commander** is responsible for all aspects of devolution of control and direction at the devolution site, including:

- Developing devolution incident objectives,
- Managing devolution operations, and
- Application of resources, as well as responsibility for all persons involved.

The devolution incident commander sets priorities and defines the organization of the devolution emergency response group (DERG) and the overall devolution operations plan. Even if subordinate positions are not assigned, the devolution incident commander position will always be designated or assumed by the most senior USAID official available on site.

531.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

531.3.1 Program Plans and Procedures

Effective Date: 08/08/2013

It is USAID policy to implement an effective continuity program through its related plans, procedures, an effective test, training, and exercise program, and an operational capability to support those plans and procedures. The USAID Continuity Manager, under the leadership of the USAID Continuity Coordinator, is responsible for developing and documenting the USAID continuity program as well as coordinating with other Government and non-government organizations, as appropriate.

USAID frequently reviews, validates, and maintains its continuity program plans and procedures in accordance with **Federal Continuity Directives (FCD)-1**&**2**. It is the policy of USAID to maintain program plans and procedures throughout the continuity life cycle of readiness and preparedness, activation, continuity operations, and reconstitution.

The USAID Continuity Manager is responsible for overseeing the development, training, and planning for the USAID Emergency Relocation Group (ERG), the Devolution Emergency Response Group (DERG), and reconstitution personnel in coordination with USAID Bureau/Independent Office (B/IO) Continuity Coordinators. Additionally, the USAID Continuity Manager submits the monthly Federal Emergency Management Agency (FEMA) Readiness Reporting System (RRS) report as well as documenting all exercises.

531.3.2 Risk Management

Effective Date: 08/08/2013

Risk management is the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken. USAID practices risk management throughout the continuity life cycle with routine risk identification, analysis, and adopting proactive risk management strategies. In accordance with the risk management practices provided in **FCD-1**, the USAID Continuity Manger oversees the risk management process.

531.3.3 Budgeting and Acquisition of Resources

Effective Date: 08/08/2013

When developing continuity budgets or making acquisition decisions to enhance the Agency's resiliency, the USAID Continuity Coordinator considers:

a. Identifying the budgetary requirements for addressing organizational resilience and continuity interdependencies in the performance of internal essential functions, dependencies, and interdependencies;

b. Coordinating with the General Services Administration (GSA) to use pre-established acquisition, supply, storage, distribution and transportation mechanisms; and

c. Additional continuity factors such as probabilities of occurrence, mission priorities, and impact assessments, as part of the continuity risk management methodology.

Further, the USAID Continuity Coordinator may also consider cost, because informed decisions about acceptable and unacceptable levels of risk will ultimately drive the expenditure of resources (i.e., money, people, and time) to mitigate risk.

In accordance with **FCD 1**&**2** and other applicable regulations and directives, the USAID Continuity Manager is responsible for documenting and maintaining a budgeting and acquisition strategy in support of USAID's continuity and resiliency objectives. If the planned acquisitions meet the thresholds established in **ADS 300, Agency Acquisition and Assistance (A&A) Planning**, the acquisition planning requirements in **ADS 300** must be followed.

531.3.4 Essential Functions

Effective Date: 08/08/2013

USAID recognizes that the entire spectrum of government functions may not be performed or needed in the immediate aftermath of a disruption. Indeed, during a disruption, resources may be scarce. Allocating resources based on sound planning helps to ensure that the delivery of essential functions will remain uninterrupted across a wide range of potential disruptions and emergencies impacting USAID operations.

The identification and prioritization of essential functions is the foundation for continuity planning at USAID. Essential functions are a subset of government functions that are determined to be critical activities. These essential functions are then used to identify supporting tasks and resources that are included in USAID's continuity planning process. In accordance with **FCD 1**, the term "essential functions" refers to those functions that USAID must continue at all times, whether the functions are MEFs, PMEFs, or Essential Supporting Activities. The immediacy of maintaining or recovering essential functions capability is driven by the results of Business Process Analyses (BPAs), as detailed in **FCD 2**.

Subsequently, USAID's risk management approach--conducted via Business Impact Analyses (BIAs)--requires an emphasis on the geographic dispersion, redundancy, and availability of leadership, staff, and infrastructure. USAID's plan should assume that there will be no warning of the threats faced by the Agency. Threats might come from known or unknown sources and do not necessarily emanate from a single, fixed, and understood actor. These threats require USAID to consider different approaches to plan for, mitigate, respond, and recover.

In accordance with **FCD 1**&**2** and other applicable regulations and directives, the USAID Continuity Manager is responsible for documenting and maintaining planning, protocols, procedures, and policies to continue USAID's essential functions throughout all-hazards.

531.3.5 Orders of Succession

Effective Date: 08/06/2013

It is critical to have a clear line of succession established in the event an USAID's leadership becomes debilitated or incapable of performing its legal and authorized duties, roles, and responsibilities. The designation as a successor enables that individual serve in the same position as a principal in the event of that principal's death, incapacity, or resignation. Orders of succession are prepared to provide clarity of

leadership in the event that individuals serving in senior leadership, key decision-making, or management roles are unavailable.

Orders of succession are a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.

Orders of succession enable an orderly and predefined transition of leadership within USAID. Orders of succession are an essential part of USAID's continuity plans and should reach to a sufficient depth and have sufficient breadth to ensure that USAID can perform its essential functions during the course of any disruption and/or emergency. Geographical dispersion, including use of regional, field, or satellite leadership in USAID's line of succession is crucial and ensures roles and responsibilities can transfer in all contingencies.

In accordance with **FCD 1**&**2** and other applicable regulations and directives, the USAID Continuity Manager is responsible for documenting and maintaining planning, protocols, procedures, and policies regarding developing and maintaining USAID's line of succession for leadership. The USAID Continuity Manager must revise orders of succession, as necessary, and distribute the revisions promptly as changes occur to higher organization authorities, potential successors, affected staff, and others, as appropriate. Additionally, USAID's General Counsel is responsible for reviewing and approving all orders of succession.

531.3.6 Delegations of Authority

Effective Date: 08/08/2013

Delegations of authority ensure the orderly and predefined transition of leadership responsibilities within USAID during an activation of the USAID continuity plan and are closely tied to succession. A delegation of authority provides successors with the legal authorization to act on behalf of the principal authority-holder for specified purposes and to carry out specific duties. Delegations of authority will generally specify a particular function, including limitations, conditions, and restrictions, that an individual is deemed by USAID leadership as qualified to perform.

To the extent possible, USAID identifies the individuals to whom authorities are delegated by position title and not by name. At minimum, a delegation of authority should exist for the individuals listed in the orders of succession. Delegations of authorities are frequently tied to specific positions, but since many delegations require specific training, qualifications, and certification, some delegations of authority might rest with a specific individual.

Generally, predetermined delegations of authority will take effect when normal channels of direction are disrupted and will terminate when these channels are reestablished. Delegation of authority is an essential part of USAID's continuity plans and has sufficient depth and breadth to ensure USAID can perform its essential functions during the course of any disruption or emergency.

531.3.7 Continuity Facilities
Effective Date: 08/08/2013

The term “continuity facilities” is comprehensive, referring to both continuity and devolution sites where essential functions are continued or resumed during a continuity incident.

“Alternate sites” are locations, other than the primary facility, used to carry out essential functions by relocating ERG members following activation of the continuity plan. “Devolution sites” are locations used to carry out essential functions by devolving the essential functions to a geographically-separated facility and staff (the DERG) following activation of the devolution plan. These sites refer to not only other facilities and locations, but also work arrangements such as telework and mobile work concepts.

USAID maintains a “hot site” in the Washington, D.C. area. Hot sites are continuity facilities that have the computer, telecommunications, other information technology, infrastructure, and personnel required to recover essential functions.

Additionally, USAID maintains an evacuation site near Headquarters (HQ) for USAID leadership in the event that a localized incident prevents the use of the USAID/W HQ but does not necessitate relocating to the USAID alternate operating facility. USAID personnel that are not assigned to a continuity facility during continuity plan activation may be encouraged to conduct unscheduled telework in accordance with the **Telework Enhancement Act of 2010** and **ADS 405, Telework**.

The USAID Continuity Manager is responsible for maintaining plans, procedures, protocols, policies, and documentation of USAID continuity facilities--including the establishment of a USAID devolution site--in accordance with **FCD 1**&**2**.

531.3.8 Continuity Communications
Effective Date: 08/08/2013

USAID’s ability to execute its essential functions at its primary operating facility and continuity facilities, as well as the ability of senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions, depend upon the availability of effective communications systems. These systems support full connectivity, under all conditions, among key government leadership, internal elements, critical customers, and the public.

The USAID Continuity Manager, in coordination with the USAID Chief Information Officer (CIO), is responsible for developing, maintaining, exercising, and testing the USAID continuity communication requirements in accordance with **FCD 1** and **NCS Directive 3-10**.

531.3.9 Essential Records Management
Effective Date: 08/08/2013

Essential records refer to information systems technology, applications, and infrastructure, electronic and hardcopy documents, references, and records needed to support the continued performance of essential functions during continuity activation. USAID must also protect information that is needed for the resumption of normal operations for reconstitution. The USAID Essential Records Officer identifies and protects records that are essential to USAID operations and then assigns responsibility for those records to the appropriate personnel.

Categories of essential records include the following:

Emergency Operating Records: These include records and databases essential to the continued functioning or the reconstitution of USAID operations during and after continuity activation. These records provide the USAID ERG with the guidance they need to conduct operations during a continuity situation and to resume normal operations at the conclusion of that situation.

Rights and Interests Records: These include records critical to execute USAID's essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by USAID' activities. Any Rights and Interests Records considered critical for continued performance of essential functions should be included in the Emergency Operating Records and maintained at the appropriate continuity facility.

The USAID Essential Records Officer and the USAID Continuity Manager are responsible for developing plans, procedures, protocols, and policies to safeguard USAID essential records in accordance with **FCD 1**&**2** and applicable NARA regulations.

531.3.10 Human Resources

Effective Date: 08/08/2013

During a continuity activation, USAID will activate ERG (and possibly DERG) members to perform their assigned duties. The ERG is comprised of individuals who are assigned responsibility to relocate to an alternate site, as required, to perform essential functions or other tasks related to continuity operations. Personnel stationed at the devolution site who are identified to conduct essential functions during activation of devolution plans are classified as the DERG.

In addition to supporting the human resources needs of ERG and DERG members, USAID is also responsible for supporting employees who are not designated as ERG personnel (referred to as non-ERG members), but who may also be affected by a continuity plan activation. Procedures and expectations for these employees are addressed in continuity and emergency plans, such as the OEP, which includes evacuation and shelter-in-place planning. Further, staff accountability is a critical capability for USAID.

The **Telework Enhancement Act of 2010** states that "each executive agency shall incorporate telework into the continuity of operations plans for that agency." Incorporating telework into continuity plans means that these plans identify ways that USAID personnel perform the duties and responsibilities necessary to continue USAID's essential functions during any type of threat or disruption from an approved worksite other than the location from which the employee would otherwise work.

Emergency Employees

In addition to identifying ERG and DERG personnel who are responsible for the continuation of essential functions during continuity plan activation, USAID is also responsible for identifying other categories of employees. While furlough, dismissal, and closure situations do not inherently lead to the activation of USAID's continuity plan, the USAID Continuity Coordinator plans for such a scenario.

"Emergency employees" are critical to USAID operations (including security and infrastructure) in dismissal and closure situations and who will be expected to work.

Further, USAID may need to designate those personnel who are allowed to work during a shutdown furlough or money-saving furlough (referred to as exempt employees). If continuity plan activation occurs during a period of time during which employees are affected by a shutdown furlough or money-saving furlough, the USAID Continuity Coordinator will determine whether each individual employee may or may not participate in the continuity operations under applicable law and based on budget conditions, funding sources, and mission priorities. Employees participating in continuity events are not automatically excepted or exempt from a furlough.

531.3.11 Tests, Training, and Exercises (TT&E)

Effective Date: 08/08/2013

The testing, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving USAID's ability to execute its continuity program, plans, and procedures. The testing of USAID's ability to demonstrate continuity capabilities in the performance of essential functions enables leadership to establish clear goals for USAID's continuity program.

Periodic testing also ensures that resources and procedures are kept in a constant state of readiness. Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of USAID's essential functions during a continuity incident. Exercises prepare ERG and DERG members to respond to all disruptions and ensure performance of USAID's essential functions. These include interdependencies both internal and external to USAID.

USAID's continuity exercise program focuses primarily on evaluating capabilities or an element of a capability, such as a plan or policy, in a simulated situation. The Homeland Security Exercise and Evaluation Program (HSEEP) is a capabilities- and performance-based exercise plan that provides a standardized policy, methodology, and language for designing, developing, conducting, and evaluating all exercises. The HSEEP is a pillar

of the National Exercise Program framework. USAID utilizes the HSEEP doctrine for additional exercise and evaluation guidance. The USAID Continuity Manager is responsible for ensuring USAID complies with TT&E requirements provided in **FCD 1**.

531.3.12 Devolution of Control and Direction

Effective Date: 08/08/2013

Devolution planning supports overall continuity planning and addresses catastrophes and other all-hazards emergencies that render USAID's leadership and ERG members unavailable or incapable of performing its essential functions from either USAID's primary operating facility or alternate sites. The devolution option may be used when the USAID's primary operating facility, alternate site, and/or staff are not available or insufficient to continue USAID's essential functions. The continuity plan's devolution option addresses how USAID will identify and transfer responsibility for the performance of essential functions to personnel at a location that offers a safe and secure environment in which essential functions can continue.

Because of the requirements upon the DERG, USAID and its chosen devolution counterpart must work closely together to fulfill devolution requirements. While it is the responsibility of the USAID/W HQ to ensure its essential functions are continued under all circumstances, including ensuring the devolution site is capable and the DERG is trained, the devolution site and DERG play a key role in ensuring requirements are met, as they are ultimately responsible for performing essential functions when the devolution option is activated.

The USAID Continuity Manager is responsible for coordinating with the DERG, the USAID Devolution Manager, and Devolution Incident Commander, ensuring that all devolution plans, procedures, policies, and protocols are current and in accordance with **FCD 1**&**2** and any other application regulation or directives.

531.3.13 Reconstitution Operations

Effective Date: 08/08/2013

Since the process of reconstitution begins at the start of a continuity event, USAID requires a Reconstitution Team with leadership, staff, and resources dedicated and separate from existing essential function support to resume normal operations as quickly as possible. In addition, GSA, OPM, and NARA also play key roles in reconstitution operations.

The USAID Continuity Manager is responsible for developing and maintaining the documentation, plans, policies, and protocols for reconstitution in accordance with **FCD 1** and other application policies and regulations. The USAID Continuity Manager is responsible for ensuring a strategy for informing all personnel that the actual emergency or the threat of an emergency, and the necessity for continuity operations no longer exists, and instruct personnel on how to resume normal operations.

The USAID reconstitution strategy includes coordinating with the GSA to ensure GSA understands USAID's facilities requirements following an incident that results in the loss of USAID/W HQ.

531.4 MANDATORY REFERENCES

531.4.1 External Mandatory References

Effective Date: 08/08/2013

a. **Executive Order 12656, Assignment of Emergency Preparedness Responsibilities, November 18, 1988, as amended**

b. **Executive Order 13618, Assignment of National Security and Emergency Preparedness Communications Functions, July 2012**

c. **Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements, Revised October 26, 2012**

d. **Federal Continuity Directive 2, Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process, February 2008**

e. **Homeland Security Presidential Directive 7, Critical Infrastructure Identification, Prioritization, and Protection, December 17, 2003**

f. **National Communication System (NCS) Directive 3-10, Minimum Requirements for Continuity Communications Capabilities, November 7, 2011**

g. **National Continuity Policy Implementation Plan (NCPIP), Homeland Security Council, August 2007**

h. **National Disaster Recovery Framework (NDRF), September 2011**

i. **National Preparedness Goal, September 2011**

j. **National Response Framework (NRF), May 2013**

k. **National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20, National Continuity Policy, May 4, 2007**

l. **Presidential Policy Directive (PPD) 8, National Preparedness, March 30, 2011**

m. **Telework Enhancement Act of 2010, December 2010**

n. **Washington, DC, Area Dismissal and Closure Procedures, Office of Personnel Management (OPM), November 2012**

531.4.2 Internal Mandatory References
Effective Date: 08/08/2013

a. **ADS 101, Agency Programs and Functions**

b. **ADS 103, Delegations of Authority**

c. **ADS 300, Agency Acquisition and Assistance (A&A) Planning**

d. **ADS 405, Telework**

e. **ADS 502, The USAID Records Management Program**

f. **ADS 511, Vital Records Program**

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531.5 ADDITIONAL HELP
Effective Date: 08/08/2013

There are no Additional Help documents for this chapter.

531.6 DEFINITIONS
Effective Date: 08/08/2013

The terms and definitions listed below have been incorporated into the ADS Glossary. See the **ADS Glossary** for all ADS terms and definitions.

All-hazards
The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive incidents. (**Chapter 531**)

Alternate sites
Locations, other than the primary facility, used to carry out essential functions by relocating Emergency Relocation Group (ERG) members following activation of the continuity plan. These sites refer to not only other facilities and locations, but also work arrangements such as telework and mobile work concepts. (**Chapter 531**)

Business Process Analysis (BPA)
A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, interdependencies, and facilities inherent in the execution of a function or requirement. (**Chapter 531**)

Continuity Coordinators

Senior accountable executive branch official at the assistant secretary or equivalent level who represents their department or agency on the Continuity Advisory Group (CAG), ensures continuity capabilities in the organization, and provides recommendations for continuity policy. Continuity Coordinators are supported primarily by the Continuity Manager and by other continuity planners or coordinators, at their subordinate levels throughout the organization. (**Chapter 531**)

Continuity facilities
The term "continuity facilities" is comprehensive, referring to both continuity and devolution sites where essential functions are continued or resumed during continuity plan activation. "Alternate sites" are locations, other than the primary facility, used to carry out essential functions by relocating ERG members following activation of the continuity plan. "Devolution sites" are locations used to carry out essential functions by devolving the MEFs to a geographically separated facility and staff [the Devolution Emergency Response Group (DERG)] following activation of the devolution plan. These sites refer to not only other facilities and locations, but also work arrangements such as telework and mobile work concepts. (**Chapter 531**)

Continuity of Government (COG)
A coordinated effort within each branch of Government (e.g., the Executive Branch) to ensure that NEFs continue to be performed during a catastrophic emergency. (**Chapter 531**)

Continuity of Government Readiness Conditions (COGCON)
For the Federal Executive Branch, the COGCON system establishes readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies, focusing on possible threats to the National Capital Region (NCR). The COGCON system establishes, measures, and reports the readiness of executive branch continuity programs, which is independent of other Federal Government readiness systems. (**Chapter 531**)

Continuity Manager
The senior continuity planner, who manages day-to-day continuity programs, represents their department or agency on the CAG and working groups, as appropriate, and reports to the Continuity Coordinator on all continuity program activities. (**Chapter 531**)

Continuity of Operations (COOP)
An effort within individual organizations to ensure they can continue to perform their essential functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack- related emergencies. (**Chapter 531**)

Continuity personnel
Personnel, both senior and core, who provide to the leadership advice, recommendations, and the functional support necessary to continue essential operations. Continuity personnel are referred to as ERG members. (**Chapter 531**)

Continuity plan
A plan that details how an individual organization will ensure it can continue to perform its mission essential functions during a wide range of emergencies. (**Chapter 531**)

Continuity program management cycle
An ongoing, cyclical model of planning, training, evaluating, and implementing corrective actions for an executable continuity capability. (**Chapter 531**)

Corrective Action Program (CAP)
An organized method used to document and track improvement actions for an Agency's continuity program. (**Chapter 531**)

Critical Infrastructure (CI)
A term used by governments to describe assets that are essential for the functioning of a society and economy. (**Chapter 531**)

Delegation of authority
The identification by position, of those with the authority for making policy determinations and decisions at the headquarters, regional and field levels. Generally, pre-determined, delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished. (**Chapter 531**)

Department of Homeland Security (DHS)
A cabinet department created in response to the September 11 attacks, with the primary responsibility of protecting the United States and its territories (including protectorates) from and responding to terrorist attacks, man-made accidents, and natural disasters. (**Chapter 531**)

Devolution
The transition of roles and responsibilities for the performance of MEFs through pre-authorized delegations of authority and responsibility. The authorities are delegated from an organization's primary operating staff to other employees internal or external to the organization in order to sustain MEFs for an extended period. Devolution is a continuity option instead of or in conjunction with relocation in order to ensure the continued performance of MEFs. (**Chapter 531**)

Devolution Emergency Response Group (DERG)
Personnel stationed at the devolution site that are identified to conduct MEFs during a devolution incident. (**Chapter 531**)

Devolution site
Locations used to carry out MEFs by devolving these functions to a geographically separated facility and staff (the DERG) following activation of the devolution plan. These sites refer to not only other facilities and personnel, but also work arrangements such as telework and mobile work concepts. (**Chapter 531**)

Drive-away kit
A kit prepared by, and for, an individual who expects to deploy to an alternate site during an emergency. The kit contains items needed to minimally satisfy an individual's personal and professional needs during deployment, such as clothing, medications, laptop, mobile phone and other necessities. (**Chapter 531**)

emergency operating records
Records that support the execution of an organization's MEFs. (**Chapter 531**)

Emergency Relocation Group (ERG)
Staff assigned responsibility to continue MEFs from an alternate site in the event that their primary operating facilities are threatened or have been incapacitated by an incident. (**Chapter 531**)

Essential Functions
Essential functions are a subset of government functions that are determined to be critical activities. These essential functions are used to identify supporting tasks and resources that must be included in an organization's continuity planning process. Those functions an organization must continue in a continuity situation, whether the functions are MEFs, PMEFs, or essential supporting activities. (**Chapter 531**)

Essential Records
Information systems and applications, electronic and hardcopy documents, references, and records needed to support MEFs during a continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization's essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities. The term "vital records" refers to a specific sub-set of essential records relating to birth, death, and marriage documents. (**Chapter 531**)

Essential Records Plan Packet
An electronic or hard copy compilation of key information, instructions and supporting documentation needed to access essential records in an emergency situation. (**Chapter 531**)

Essential Supporting Activities
Critical functions that an organization must continue during continuity activation in order to perform its MEFs. These functions do not meet the threshold for MEFs or PMEFs. (**Chapter 531**)

Federal Continuity Directive (FCD)
A document developed and promulgated by DHS, in coordination with the CAG and in consultation with the Continuity Policy Coordination Committee, which directs executive

branch organizations to carry out identified continuity planning requirements and assessment criteria. (**Chapter 531**)

Federal Emergency Management Agency (FEMA)
An agency of the federal government who's primary purpose is to coordinate the response to a disaster that has occurred in the United States and that overwhelms the resources of local and state authorities. (**Chapter 531**)

Government Emergency Telecommunications Service (GETS)
An emergency telephone service that supports federal, state, local, and tribal government, industry, and non-governmental organization (NGO) personnel during crises or emergencies by providing emergency access and priority processing for local and long distance telephone calls on the public switched telephone network. (**Chapter 531**)

Government functions
The collective functions of organizations, as defined by the Constitution, statute, regulation, presidential direction or other legal authorities, and the functions of the legislative and judicial branches. These functions are activities that are conducted to accomplish an organization's mission and serve its stakeholders. (**Chapter 531**)

Homeland Security Exercise and Evaluation Program (HSEEP)
A capability-based and performance-based program that furnishes standardized policy, doctrine, and terminology for the design, development, performance, and evaluation of homeland security exercises. The National Exercise Program uses the HSEEP as a common methodology for exercises. HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs. (**Chapter 531**)

Homeland Security Presidential Directive (HSPD)
Presidential Directive that designates the Secretary of Homeland Security as the President's lead agent for coordinating overall national continuity operations and activities, and provides continuity planners with substantive new guidance designed to enhance the nation's continuity capabilities. (**Chapter 531**)

Hot site
A duplicate of the primary operating facility of the organization, with full computer systems as well as near-complete backups of user data. Real time synchronization between the two sites may be used to completely mirror the data environment of the original site using wide area network links and specialized software. (**Chapter 531**)

interoperable communications
Communications that provide the capability to perform MEFs, in conjunction/ collaboration with other organizations, under all conditions. (**Chapter 531**)

Mission Essential Functions (MEFs)

The limited set of organization-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. (**Chapter 531**)

Multi-Year Strategy and Program Management Plan (MYSPMP)
A plan that guides the development of the continuity program over a set number of years via a process that ensures the maintenance and continued viability of continuity plans. (**Chapter 531**)

National Communications System (NCS)
A system governed by Executive Order 12472 and comprised of the telecommunications assets of 24 organizations. DHS serves as the Executive Agent for the NCS, which is responsible for assisting the President, the National Security Council, the Director of Office of Science and Technology Policy, and the Director of OMB in (1) the exercise of telecommunications functions and their associated responsibilities and (2) the coordination of planning for providing the Federal Government, under all circumstances (including crises and emergencies, attacks, and recovery and reconstitution from those events), with the requisite national security and emergency preparedness communications resources. (**Chapter 531**)

National Continuity Policy Implementation Plan (NCPIP)
Provides guidance for the Federal executive branch and Non-Federal Governments (NFGs) in coordinating capabilities to prevent, protect against, respond to, and recover from all-hazards in a way that balances risk with resources and includes exercises, assessments, and reporting requirements. (**Chapter 531**)

National Essential Functions (NEFs)
The eight functions that are necessary to lead and sustain the Nation during a catastrophic emergency and that, therefore, must be supported through COOP and COG capabilities, including:

1. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government;

2. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;

3. Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests;

4. Maintaining and fostering effective relationships with foreign nations;

5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people,

property, or interests;

6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;

7. Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems; and

8. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States. (**Chapter 531**)

National Exercise Program
The nation's overarching exercise program executed by federal interagency partners. All interagency partners have adopted HSEEP as the methodology for all exercises that will be conducted as part of the Program. (**Chapter 531**)

National Security Presidential Directive (NSPD)
Emphasizes the importance of a comprehensive national program involving all government levels and the private sector for integrated and scalable continuity planning. Prescribes continuity requirements for all executive departments and agencies, and provides continuity guidance for the states, territories, tribal and local governments, and private sector organizations. (**Chapter 531**)

Occupant Emergency Plan (OEP)
A short-term emergency response plan, which establishes procedures for evacuating buildings or sheltering-in-place to safeguard lives and property. Common scenarios that would lead to the activation of this plan include inclement weather, fire, localized power outages, and localized telecommunications outages. These types of events are generally short-term in nature. (**Chapter 531**)

Orders of Succession
A formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances. (**Chapter 531**)

Primary Mission Essential Function (PMEF)
The essential functions of an organization that must be performed in order to support the accomplishment of NEFs before, during, and in the aftermath of an emergency. Functions that must be maintained throughout or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed. (**Chapter 531**)

Primary Operating Facility (POF)

The facility within the NCR, where USAID's leadership and staff operate on a day-to-day basis. (**Chapter 531**)

Readiness Reporting System (RRS)
A DHS program designed to collect and manage continuity capability data and assessments of executive branch organizations and their status in the performance of their PMEFs/MEFs in support of the NEFs. The RRS is used to conduct assessments and track capabilities at all times under all conditions, to include natural disasters, manmade incidents, terrorism, and war. (**Chapter 531**)

Reconstitution
The process by which surviving and/or replacement organization personnel resume normal organization operations from the original or a replacement primary operating facility. (**Chapter 531**)

Recovery
The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster. (**Chapter 531**)

Resilience
The ability to adapt to changing conditions and withstand and rapidly recover from disruptions due to emergencies. (**Chapter 531**)

Rights and Interests Records
Records necessary to protect the legal and financial rights of both the Federal Government and the persons who are affected by its actions. (**Chapter 531**)

Risk management
The process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken. (**Chapter 531**)

Telework
A "work flexibility arrangement under which an employee performs the duties and responsibilities of such employee's position and other authorized activities, from an approved worksite other than the location from which the employee would otherwise work." (**Chapters 405** and **531**)

Telework Site
Telework known under various names such as "work at home," "flexible work," and "telecommuting," is a method of accomplishing work requirements from a different location. The work location might be a residence or another alternative location. (**Chapters 405** and **531**)

Tests, Training, and Exercises (TT&E)

Measures taken to ensure that an organization's continuity plan is capable of supporting the continued execution of the organization's MEFs throughout the duration of a continuity event. TT&E activities are designed to familiarize, impart skills and ensure viability of continuity plans. (**Chapter 531**)

Wireless Priority Service (WPS)
Provides national security and emergency preparedness personnel priority communication capabilities over wireless networks and offers users up to an 80% call completion rate during higher call volume periods. (**Chapter 531**)

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