

Department of the Interior Departmental Manual

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Series: Emergency Management

Part 900: Emergency Management Program

Chapter 2: Continuity of Operations (COOP) Program

Originating Office: Office of Law Enforcement and Security

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2.1 Purpose. This chapter establishes uniform guidance for the development and implementation of contingency plans for continuity of operations (COOP). COOP planning facilitates the performance of the Department's essential activities and functions during the full range of human-caused, natural, technological, and national security emergencies.

2.2 Scope. This chapter applies to all organizational units of the Department of the Interior and to all locations where Department employees are assigned or where functions and activities of the Department are conducted.

2.3 Definitions.

A. Department Headquarters. For this chapter, those bureaus and offices residing in the Main Interior Building and South Interior Building, including the Immediate Office of the Secretary, Deputy Secretary, Assistant Secretaries, and Bureau Directors and their staffs.

B. Drive-Away (Fly-Away) Kits. Pre-packaged materials that would be moved to alternate facilities upon COOP activation. Kits may be organizational or personal.

C. Essential Functions. Based on Federal Preparedness Circular-65, functions that enable the Federal government to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

D. Mission Essential Facilities: Facilities that are essential for the execution of the Department's essential functions.

E. No-Warning Scenario. Situation in which an emergency occurs with no advance indication that activation of COOP plans are foreseen. May require automatic deployment of personnel to designated alternate facilities.

F. Occupant Emergency Plan. Established under Federal Management Regulations, a short-term emergency response program that establishes procedures for safeguarding lives and property in Federal facilities.

G. Organizational Unit. For this chapter, a group of employees under common management that comprise a logical unit for developing a continuity of operations plan, such as a regional office, a service center, an administrative unit, a research station, or a park, refuge, district, or agency. An organizational unit may consist of one or more facilities.

H. Vital Record. Electronic and hardcopy documents, references, and records needed to support essential functions during a COOP situation. Vital records are divided into two categories: (1) emergency operating records and (2) legal and financial rights records.

I. Warning Scenario. Situations in which there are indications that COOP activation may be required and deliberate decisions are undertaken to activate the COOP plan.

2.4 Authorities and References.

A. Authorities.

(1) Presidential Decision Directive 67, Enduring Constitutional Government and Continuity of Operations, October 21, 1998.

(2) Executive Order 12656, Assignment of National Security and Emergency Preparedness Responsibilities, November 18, 1988.

B. References.

(1) Federal Preparedness Circular 60, Continuity of the Executive Branch of the Federal Government at the Headquarters Level during National Security Emergencies, November 20, 1999.

(2) Federal Preparedness Circular 65, *Federal Executive branch Continuity of Operations (COOP)*, June 15, 2004.

(3) Presidential Decision Directive 62, *Protection against Unconventional Threats to the Homeland and Americans Overseas*, dated May 22, 1998.

(4) Homeland Security Presidential Directive 3, *Homeland Security Advisory System*, dated March 11, 2002.

(5) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.

(6) Homeland Security Presidential Directive 7, *Critical Infrastructure Identification, Prioritization, and Protection*, dated December 17, 2003.

(7) Title 36, CFR, Part 5 1236, *Management of Vital Records*, revised as of July 1, 2000.

(8) Title 41, CFR, Parts 102-74.230/235/240/245/250/255/260, GSA Federal Management Regulation, Facility Management, Occupant Emergency Program Sections, revised July 1, 2000.

(9) Homeland Security Presidential Directive 8, *National Preparedness*, dated December 17, 2003.

(10) Departmental Manual Part 444.

2.5 Policy. The Department of the Interior and its subordinate organizational units will have in place a comprehensive and effective COOP program to ensure continuity of essential Federal functions under all circumstances. The Department as a whole or its constituent bureaus/offices will provide necessary resources for planning, preparedness, response, and recovery from any emergency or situation that may disrupt normal operations.

2.6 Objectives. The objectives of the Continuity of Operations (COOP) program are:

- A. Ensuring the performance of Departmental essential functions/operations during a COOP event;
- B. Reducing loss of life, minimizing damage and losses;
- C. Executing as required, successful succession to office with accompanying authorities in the event a disruption renders agency leadership unable, unavailable or incapable of assuming and performing their authorities and responsibilities of office;
- D. Reducing or mitigating disruptions to operations;
- E. Ensuring that bureaus and offices have alternate facilities from which to continue to perform their essential functions during a COOP event;
- F. Protecting essential facilities, equipment, records, and other assets;
- G. Achieving a timely and orderly reconstitution from an emergency, resumption of essential functions to both internal and external clients, and transition to normal operations as quickly as possible; and
- H. Ensuring and validating COOP readiness through an integrated test, training, and exercise program to support the implementation and validation of COOP plans.

2.7 Responsibilities.

A. The Assistant Secretary - Policy, Management and Budget is responsible for overall leadership and coordination of the Department's COOP Program, and approves the Department's Headquarters COOP Plan.

B. The Deputy Assistant Secretary - Law Enforcement and Security provides direct oversight of the COOP Program, and approves the COOP Multi-Year Strategy and Program Management Plan.

C. The Director, Office of Law Enforcement and Security provides direction for the COOP program, and integrates law enforcement and security requirements into the COOP plan.

D. Office Directors in Policy, Management and Budget, and the Immediate Office of the Secretary. Promulgate guidance on COOP planning requirements to organizational units located outside Department Headquarters. Assure assigned personnel will execute responsibilities under the Department Headquarters COOP plan. As required, develop appendixes and annexes to the Department Headquarters COOP Plan.

E. The Assistant Director for Emergency Management, Office of Law Enforcement and Security (Departmental Emergency Coordinator) serves as the COOP program point of contact for the Department of Homeland Security. Develops COOP policy and provides policy interpretation and guidance for the Department; provides oversight to assure COOP policy compliance; develops and maintains the COOP Plan; provides for COOP readiness, and coordinates operational COOP activities.

F. Program Assistant Secretaries. Provide leadership and oversight to assure that bureaus under their jurisdiction manage and execute COOP programs. Ensure preparedness of their immediate office to execute the Department's Headquarters COOP plan.

G. Heads of Bureaus are responsible for the Bureau COOP program and approval of the Bureau COOP Plan. Promulgates guidance on COOP planning requirements to subordinate organizational units and ensures readiness of the bureau to implement its COOP plan. Ensures assigned personnel resident in the Department Headquarters are prepared to execute responsibilities under the Department's Headquarters COOP plan.

H. The Solicitor is responsible for the Office of the Solicitor COOP program and approval of the Office of the Solicitor COOP Plan. Promulgates guidance on COOP planning requirements to subordinate organizational units and ensures readiness of the Office of the Solicitor to implement its COOP plan. Ensures assigned personnel resident in the Department Headquarters are prepared to execute responsibilities under the Department's Headquarters COOP plan.

I. The Inspector General provides oversight of the Departmental, bureau, and office Emergency Management Programs as provided for in the Inspector General Act of 1978 and provides reporting of serious or flagrant problems, abuses, or deficiencies relating to the administration of those programs and operations to the Secretary and to the Congress of the United States as necessary. Responsible for the Office of Inspector General COOP Program and

approval of the Office of Inspector General COOP Plan. Promulgates guidance on COOP planning requirements to subordinate organizational units and assures readiness to implement COOP plans. Ensures assigned personnel resident in Department Headquarters are prepared to execute responsibilities under the Department's Headquarters COOP plan.

2.8 Planning Requirements for Viable COOP Capability. Viable COOP capability requires planning that includes the following elements:

- A. Must be capable of implementation both with and without warning;
- B. Must be operational for essential functions within 12 hours of COOP activation;
- C. Must be capable of maintaining sustained operations up to 30 days;
- D. Must include regularly scheduled testing, training, and exercising of personnel, equipment, systems, processes, and procedures;
- E. Must include regular risk analysis of alternate operating facility(ies) conducted in accordance with 444 DM, Physical Protection and Building Security;
- F. Must locate alternate operating facilities in areas where the ability to initiate and maintain continuity of operations is maximized, considering distance from primary facilities and potential threats and hazards;
- G. Planning must include the development, maintenance, and annual review of COOP capabilities and plans. At the Departmental level, bureaus, Office of the Solicitor and Office of the Inspector General, a COOP Multi-year Strategy and Program Management Plan will be prepared to designate and review essential functions and resources; define short and long-term COOP goals and objectives; forecast COOP budgetary requirements; identify COOP program issues, concerns, obstacles, and strategy for addressing these shortfalls; and establish milestones for COOP planning, training, and exercise activities. The National Business Center is also required to develop a COOP Multi-year Strategy and Program Management Plan with applicable elements.

2.9 Development and Coordination of COOP Plans.

- A. COOP plans shall be prepared and maintained for the Department, each bureau, the Office of the Solicitor, and the Office of Inspector General.
- B. The Department Headquarters (HQ) COOP plan incorporates COOP planning for all organizational units within the Department HQ. Plans for these organizational units are presented as appendices to the Department HQ COOP Plan.
- C. Because COOP plans provide for continuity of essential functions, they may encompass multiple units or facilities in a single plan. COOP plans shall clearly specify subordinate units that are required to prepare an individual COOP plan, or whether COOP

program requirements of subordinate units can be met by appending information to the plan of the parent office.

D. In general, individual COOP plans should be required at regional organization levels, and depending on essential functions, will be necessary at lower organizational units. Organizations utilizing mission essential facilities shall prepare individual COOP plans.

E. In accordance with Federal Property Management Regulations, Occupant Emergency Plans are required at every Federal facility and are the responsibility of the Designated Official as specified in the regulation. Development of Occupant Emergency Plans is generally delegated to facilities management. Occupant Emergency Plans and COOP plans should be coordinated and be mutually supportive.

F. Coordination of Requirements for Security and Critical Infrastructure Protection. COOP, physical security, critical infrastructure protection, and information technology security all contain overlapping requirements for the protection of assets needed to perform essential functions.

(1) Each organization preparing a COOP plan shall identify, prioritize, assess, and protect their internal critical infrastructure and facilities to minimize disruptions. In accordance with Homeland Security Presidential Directive-7, critical infrastructure and facilities include facilities and infrastructure as required to perform essential missions. Facilities and critical infrastructure must be protected in accordance with 444 DM.

(2) Alternate facilities must conduct regular risk analysis and provide physical security protective measures in accordance with 444 DM, Physical Protection and Building Security. In some instances, the ongoing mission of a facility will require a lesser level of protection than required when the facility is activated for COOP. The facility must plan for and be capable of upgrading protective measures commensurate with its COOP function within 12 hours of activation. Alternate headquarters for the Department, bureaus and other organizational units listed in paragraph 2.9A shall be protected to Level IV as identified in 444 DM. Required physical security capabilities for alternate headquarters must be tested/exercised annually.

2.10 Elements of a Viable COOP Program. At a minimum, COOP programs must address the following elements.

A. Plans and Procedures. Written plans must address, at a minimum, elements found under paragraph 2.11.

B. Essential Functions. Identify and prioritize essential functions required to provide essential services, exercise civil authority, save lives and protect the health and safety of the public and employees

C. Delegations of Authority. Pre-delegated authorities for making policy determinations and other decisions. Clearly established delegations of authority are vital to ensuring all Departmental personnel know who has authority to make key decisions in a COOP.

D. Orders of Succession. Establish, promulgate, and maintain orders of succession to key positions.

E. Alternate Operating Facility(ies). Identify alternate location(s) where the organization can conduct essential activities or functions. At least one location should be physically and geographically separate from the primary location to ensure that operations can be conducted regardless of the disruption.

F. Interoperable Communications. Identify critical communications and information technology systems to support connectivity between leadership, internal organizational units, other agencies, critical customers, and the public.

G. Vital Records and Databases. The identification, protection, availability and access of electronic and hardcopy documents, references, records, and information as needed to support essential functions.

H. Human Capital. COOP Human Capital planning and preparedness encompasses designation of emergency employees, mission-critical employees, and other special categories of employees; dismissal or closure procedures; announcements on operating status; status and location of non-emergency employees; employee communications; employee awareness of operating and facilities conditions; and pay flexibilities and benefits issues.

I. Test, Training, and Exercises. Provide a program for annual testing, training, and exercising of COOP capabilities. Training familiarizes personnel with procedures they must perform in executing COOP plans. All COOP plans must be tested and exercised to ensure the plan's viability and identify deficiencies.

J. Devolution of Control and Direction. Devolution planning provides for execution of the organizations responsibilities in emergencies when leadership and staff may be rendered unavailable or incapable of executing essential functions. This element is required only in the Department's Headquarters COOP plan.

K. Reconstitution. Identify procedures for restoring normal operations after a catastrophic event. This includes consolidation of resources to allow the organization to become fully functional, establishment of a new permanent operating site if needed, movement of personnel, equipment, records, and notification of non-deployed personnel to assure an orderly transition to normal operations.

2.11 Elements of a Viable COOP Plan. In order to minimize disruption of normal business activities and provide for continued performance of essential functions under all circumstances, written COOP plans must be developed and document, at a minimum, the following elements:

A. Essential Functions. Documents essential functions derived from planning under paragraph 2.10B, and addresses agency interdependencies and resource requirements.

B. Orders of Succession and Delegations of Authority. Documents orders of succession for key positions provided in accordance with planning under paragraph 2.10D, and provides for delegations of authority in accordance with planning under paragraph 2.10C to assure authorities are in place to execute essential functions.

C. Alternate Operating Facilities. Designates alternate facilities derived from planning under paragraph 2.10E.

D. Vital Records. Describes vital records, systems, and databases addressed under paragraph 2.10G, their location and how they can be accessed.

E. COOP Activation. Documents the decision process for activation of COOP plans during “no-warning” and “warning” scenarios. Includes contact numbers, radio call signs, or other information needed to implement critical communications system, and maintenance of contact lists; as contact lists must be frequently revised, it is recommended that contact lists be appended to the COOP plan.

F. Notification and Deployment. Outlines procedures and provides checklists as needed for notification of alternate facilities, COOP team members, senior leadership and others upon COOP activation, and provides instructions for movement of personnel and other resources including “drive-away” kits to the alternate facility.

G. Initial Operating Capability. Outlines procedures and provides reference material and checklists as needed to assure COOP team and alternate facilities reach operational status within 12 hours. Includes delineation of responsibilities for COOP team members, alternate facility reception and orientation, and establishing of communications in accordance with procedures developed under paragraph 2.9F.

H. Alternate Facility Operations. Describes procedures and/or checklists as needed to order necessary equipment and supplies that are not pre-positioned; manage situation tracking and implementation of essential functions; and provide ongoing communications with other organizational units, non-deployed personnel, other agencies, critical customers, and the public.

I. Reconstitution. Provides procedures and/or checklists for plans developed under paragraph 2.10K to redeploy personnel and transition to normal operations.