ADS Chapter 531

Continuity of Operations (COOP) Program

Functional Series 500 – Management Services
ADS 531 – Continuity of Operations (COOP) Program
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Table of Contents

ADS 531 – Continuity of Operations (COOP) Program

531.1 OVERVIEW
Effective Date: 03/29/2017

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. This ADS chapter serves to link all USAID Bureau/Independent Office (B/IO) functions and personnel into a partnership that play vital roles in safeguarding and preserving the continuity of USAID's operations. This chapter is a companion document to other ADS chapters as well as other emergency management plans and procedures and takes an all-hazards approach to continuity operations.

It is USAID's policy to implement the procedures, establish roles and responsibilities, and coordinate the intra-agency partnerships contained in this ADS chapter in accordance with the **U.S. Department of Homeland Security (DHS)** regulations, other applicable directives and policies listed in **531.4.1**, and industry best practices. The provisions of this chapter are applicable to all USAID Bureaus and Independent Offices and personnel regardless of their location in accordance with the latest version of **Federal Continuity Directive - 1 (FCD-1)**.

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 for USAID to 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 Test, Training, and Exercise (TT&E) program and operational capability.

531.2   PRIMARY RESPONSIBILITIES
Effective Date: 03/29/2017

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

1. Designating an official, at the Assistant Administrator Level, as the USAID Continuity Coordinator;

2. Ensuring the USAID Continuity Program is properly resourced;

3. Signing the COOP Plan;

4. Activating the COOP Plan; and

5. Providing leadership during continuity plan activations, operations, and exercises.

During continuity incidents, the USAID Administrator may appoint one or several incident commanders to be overall in-charge (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 responsible for:
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1. Serving as the senior official responsible for coordinating with the Administrator and national continuity leadership to ensure that USAID maintains a viable and effective continuity capability;

2. Working with Bureaus/Independent Offices (B/IOs) and senior leadership to complete the Mission Essential Function (MEF) and Primary Mission Essential Function (PMEF) identification process, and advocating for the program within the organization;

3. Validating Readiness Reporting System (RRS) reports on behalf of the organization to FEMA; and

4. Representing the Agency (or designate a representative) to serve on the Continuity Advisory Group, an interagency committee focused on interagency implementation of continuity programs.

The USAID Continuity Coordinator is supported primarily by the USAID Continuity Manager with the support of B/IO Continuity Coordinators. The Assistant Administrator

for the Bureau for Management is designated by the Administrator as the USAID Continuity Coordinator.

c. The **USAID Continuity Program Manager (Continuity Manager)**, located in the Bureau for Management, Office of Management Services, Headquarters Management Division (M/MS/HMD):

1. Manages the day-to-day USAID continuity program on behalf of the Continuity Coordinator, and represents USAID at interagency forums and working groups including the Interagency Continuity Working Group (ICWG), as appropriate;

2. Serves as the Primary Point of Contact (POC) with the Federal Emergency Management Agency (FEMA) National Continuity Programs Directorate (NCP) for continuity program matters, including preparedness and operational activities;

3. Administers support to B/IOs to ensure that Agency leadership and continuity personnel are properly trained and facilities are properly equipped to execute continuity plans with little or no notice.

4. Submits monthly Readiness Reporting System (RRS) reports to FEMA and Situational Reports when requested by FEMA; and

5. Updates all Continuity Plans – COOP Plan, Reconstitution Plan, Devolution Plan and Alternate Operating Facility (AOF) Standard Operating Procedure (SOP).

d. Each USAID **Bureau/Independent Office (B/IO)** is responsible for having a Primary and Alternate Continuity Coordinator to represent the B/IO as part of the USAID Continuity Working Group (CWG).

1. The USAID CWG meets monthly and is chaired by the USAID Continuity Program 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/IOs.

2. Each Mission is responsible for having a Primary and Alternate Continuity Coordinator to serve as the Mission's Liaison back to USAID/Washington (USAID/W) for all continuity related matters.

e. The **USAID Essential Records Manager** is, for continuity purposes, designated as the Essential Records Officer and is responsible for developing courses of action for:

1. Essential record protection, duplication, and salvage operations;

2. Coordinating with and assisting the USAID Continuity Manager with regard to implications for the Alternate Operating Facility;

3. Selection of recovery vendor(s) for service that may be used during an incident impacting essential records;

4. Development of the damage assessment process for impacted records;

5. Coordination of recovery efforts with the Records Recovery Teams;

6. Development and dissemination of emergency procedures to Records Recovery Team members and other necessary parties; and

7. Evaluation of the overall effectiveness of the USAID Essential Records Program.

The Essential Records Manager is located in the Bureau for Management, Office of Management Services, Information and Records Division (M/MS/IRD).

f. The **USAID Chief Information Officer** is responsible for maintaining, exercising, and testing identified information technology systems, applications, and infrastructure needed to support the continued performance of essential Agency functions. The Chief Information Officer is located in the Bureau for Management, Office of the Chief Information Officer (M/CIO).

g. 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. Telework utilization is an integral part of the COOP Program. 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. The TMO serves as:

1. An advisor for USAID leadership,

2. A resource for managers and employees, and

3. USAID's primary point of contact for the Office of Personnel Management (OPM) on telework matters.

The TMO is located in Office of Human Capital and Talent Management (HCTM).

h. The **USAID Reconstitution Manager** coordinates with the USAID Continuity Manager for preparedness and training activities and with the USAID Incident

Commander during the response and recovery phases of an incident or exercise. The USAID Reconstitution Manager is the Chief of M/MS/HMD and is responsible for:

1. Identifying, coordinating, and training personnel who will support reconstitution operations;

2. Overseeing reconstitution planning and operations; and

3. Coordinating with the General Services Administration (GSA) for all continuity requirements with regard to facilities.

i. 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. Current planning for devolution has all USAID functions devolving to one of the USAID Missions.

j. The **USAID Devolution Reconstitution Manager** performs all activities identified in item (g) above, at the designated devolution site.

k. In accordance with Presidential Policy Directive 40 (PPD-40), USAID is required to utilize the Incident Command System (ICS) during all 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 (DO) has been delegated with incident command authority. USAID's DO resides within M/MS. The Incident Commander is responsible for all aspects of an emergency response, including:

1. Developing incident objectives,

2. Managing incident operations,

3. Application of resources, and

4. Responsibility for all persons involved.

The Incident Commander sets priorities and defines the organization of the incident response teams and the overall incident action plan. Even if subordinate positions are not assigned, the Incident Commander position will always be designated or assumed.

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

1. Developing devolution incident objectives,

2. Managing devolution operations, and

3. 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: 03/29/2017

It is USAID policy to implement an effective continuity program through its related plans, procedures, an effective Test, Training, and Exercise (TT&E) 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 (NGOs), 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 USAID policy to maintain program plans and procedures throughout the continuity life cycle of readiness and preparedness, activation, continuity operations, and reconstitution.

The COOP Plan is reviewed annually and updated as necessary to reflect the latest directives or changes within the Agency. Minor changes are reflected on the Record of Changes page within the plan itself. Major changes, as determined by the Continuity Coordinator, will require the COOP Plan to be re-signed by the USAID Administrator or designee.

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 the Continuity Coordinator as required; and the USAID B/IO Continuity Coordinators. The USAID Continuity Manager submits the monthly FEMA Continuity Status Report (CSR) through the Readiness Reporting System (RRS) utilizing the Cross Domain Server (CDS) and associated RSA token. The USAID Continuity Manager is also an integral part of the Agency's TT&E effort.

531.3.2   Risk Management
Effective Date: 03/29/2017

Risk management is the process of identifying, analyzing, assessing, and communicating risk. It involves accepting, avoiding, transferring, or controlling risk 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 by adopting proactive risk management strategies. In accordance with the risk management practices provided in **FCD-1**, the USAID Continuity Manager oversees the risk management process for the COOP Program.

531.3.3 Budgeting and Acquisition of Resources
Effective Date: 03/29/2017

When developing continuity budgets or making acquisition decisions to enhance the Agency's resiliency, in accordance with **FCD-2**, the USAID Continuity Coordinator considers:

   a. Identifying the budgetary requirements for addressing the continuity needs of USAID in the performance of essential functions during any all-hazards event requiring activation of the USAID COOP Plan;

   b. Coordinating with 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.

The USAID Continuity Coordinator must 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 budget and acquisition strategy as part of the Multi-Year Strategy and Program Management Plan (MYSPMP) 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**, acquisition planning requirements must be followed.

531.3.4 Essential Functions
Effective Date: 03/29/2017

USAID recognizes that the entire spectrum of government functions may not be performed or needed in the immediate aftermath of a disruption. During a disruption, resources may be scarce. Allocating resources based on sound planning helps ensure that the delivery of essential functions will remain uninterrupted across a wide range of hazards impacting USAID operations including Missions.

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 include 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 and are known as Essential Supporting Activities (ESAs). The immediacy of maintaining or recovering essential functions capability is driven by the results of a Business Process Analyses (BPA), as detailed in **FCD 2**.

Subsequently, USAID's risk management approach, conducted via a Business Impact Analyses (BIA), requires an emphasis on the geographic dispersion, redundancy, and availability of leadership, staff, and infrastructure. USAID's plan assumes 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. Details of these processes can be found in the USAID COOP Plan.

531.3.5   Orders of Succession
Effective Date: 03/29/2017

It is critical to have a clear line of succession established in the event that 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 to 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 must have a sufficient depth and 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 Coordinator 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 Coordinator 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.

531.3.5.1   Administrator
Effective Date: 03/29/2017

The Deputy Administrator serves as the Administrator and performs the functions and duties of the Administrator during any period in which the Administrator is unavailable. In accordance with the **Memorandum for the Administrator of the United States Agency for International Development**, the Bureau Assistant Administrators, in the order in which they were appointed, act as and perform the functions and duties of the Office of the Administrator during any period in which the Administrator and Deputy Administrator become unable to perform their functions and duties. In accordance with **ADS 103, Delegations of Authority**, the general delegation section of **Section 621(a) of the FAA** may also be used to designate an Acting Administrator. When **section 621(a)** is used for temporary absences, the Acting Administrator does not have to be Presidentially Appointed and Senate confirmed (PAS).

The Administrator ensures that at a minimum, one successor is outside of Washington, D.C. during any event resulting in the Continuity of Government Condition (COGCON) Level increasing to COGCON Readiness Level 1. Within the National Capital Region, the accepted distance is described as at least 30 miles from the Washington Monument.

531.3.5.2   The Deputy Administrator
Effective Date: 03/29/2017

Bureau Assistant Administrators must act as and perform the duties of the Deputy Administrator during any period that s/he is unable to perform their duties. They must serve in the order in which they were appointed as an Assistant Administrator consistent with the order of succession for the Administrator outlined in **531.3.5.1**.

531.3.5.3   Assistant Administrators, Heads of Independent Offices, and Other Key Positions in USAID/W
Effective Date: 03/29/2017

The following positions succeed Assistant Administrators or Heads of Independent Offices and other key positions in USAID/W in the event that the principals are unable to perform the functions and duties of the office.

a. Deputy. In offices with more than one deputy, the designated senior deputy is followed by other deputies by seniority in terms of USAID service. If there is no designated senior deputy, the order is by seniority in terms of total USAID service.

b. If there is no deputy, the next level of management below the deputy level (i.e., Office Director) by grade of position, not personal rank of incumbent is next in

line. If the grade is the same (i.e., three Office Directors at the FS-1/GS-15 level), order is by seniority in terms of total USAID service.

531.3.5.4 Mission Directors and Other Key Positions Overseas
Effective Date: 03/29/2017

The order of succession for Mission Directors and other key positions of USAID field posts in the event that principals are unable to perform their responsibilities is as follows:

a. U.S. Citizen Deputy. If there is more than one deputy, the designated senior deputy is followed by other deputies by seniority in terms of USAID service. If there is no designated senior deputy, the order is by seniority in terms of total USAID service.

b. If there is no deputy, the U.S. Citizen at the next level of management below the deputy level (i.e., Office Director) by grade of position, not personal rank of incumbent is next in line. If the grade is the same (i.e., three Office Directors at the FS-1 level), the order is by seniority in terms of total USAID service.

531.3.6 Delegations of Authority
Effective Date: 03/29/2017

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. Officials succeeding to an office under an order of succession serve in an acting capacity and are authorized to exercise all of the functions and duties of the position in accordance with the provisions outlined in **ADS 103**.

531.3.7 Continuity Facilities
Effective Date: 03/29/2017

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 Operations Facility (POF), used to carry out essential functions by relocating Emergency Relocation Group (ERG) members following activation of the continuity plan. Devolution sites are locations used to carry out essential functions by devolving these functions to a geographically-separated facility and staff, known as the DERG, following activation of the devolution plan. These sites refer to not only other personnel, facilities, and locations, but also work arrangements such as telework and mobile work concepts.

USAID maintains a "warm site" in the Washington, D.C. area. Warm sites are continuity facilities that have the computers, telecommunications, other information technology, and infrastructure required to recover essential functions in place, maintained and ready for use.

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 AOF. USAID personnel who 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 in accordance with **FCD 1**.

531.3.8 Continuity Communications
Effective Date: 03/29/2017

USAID's ability to execute its essential functions at its POF and continuity facilities, as well as the ability of senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions, depends upon the availability of effective communication 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: 03/29/2017

Essential records refer to information systems technology, applications, 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 (M/MS/IRD) identifies and protects records that are essential to USAID operations and then assigns responsibility for those records to the appropriate personnel (see **ADS 511, Vital Records Program**).

Categories of essential records include the following:

Emergency Operating Records (EOR): 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's activities. Any Rights and Interests Records considered critical for continued performance of essential functions should be included in the EOR 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** and applicable NARA regulations.

531.3.10   Human Capital
Effective Date: 03/29/2017

During a continuity activation, USAID will activate the ERG (and possibly the 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. Both the ERG and DERG are identified by position rather than name, and at the recommendations of the Continuity Coordinator.

The Office of Human Capital and Talent Management (HCTM) is responsible for reviewing position descriptions of personnel who spend a substantial amount of time on a regular and continuous basis on continuity activities, such as a member of the ERG, in order to determine if such duties are documented in the official position description of record and to ensure that the addition of such duties does not impact the position's title, series, and/or grade.

In addition to supporting the human resource 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 Occupant Emergency Program (OEP), which includes evacuation and Shelter-in-Place (SIP) 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 Essential Employees

In addition to identifying ERG and DERG personnel who are responsible for the continuation of essential functions during a continuity event, 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 must plan for these types of scenarios.

"Emergency essential employees" are critical to USAID operations and in dismissal and closure situations may be expected to work. These responsibilities are outlined in an Emergency Relocation Group or Devolution Emergency Response Group selection letter issued by HCTM.

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 Test, Training, and Exercise (TT&E)
Effective Date: 03/29/2017

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.

Periodic testing 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 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 program 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 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: 03/29/2017

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 the essential functions from either USAID's POF or AOF. In this situation, the devolution option may be used. The COOP 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 – most likely one of the Missions.

Because of the requirements placed upon the DERG, USAID and its chosen devolution counterpart must work closely together to fulfill devolution requirements. 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. However, the devolution site and DERG also 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: 03/29/2017

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 GSA to ensure they understand USAID's facility requirements following an incident that results in the loss of USAID/W headquarters.

531.4   MANDATORY REFERENCES

531.4.1   External Mandatory References
Effective Date: 10/11/2019

a. [Executive Order 13618, Assignment of National Security and Emergency Preparedness Communications Functions, July 2012](#)

b. [Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements, Revised January 17. 2017](#)

c. [Federal Continuity Directive 2, Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process, Revised June 13, 2017](#)

d. [OSTP/OMB Directive D-16-1, Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities, December 15, 2016](#)

e. [National Disaster Recovery Framework (NDRF), Second Edition, June 2016](#)

f. [National Preparedness Goal, Second Edition, September 2015](#)

g. [National Response Framework (NRF), Third Edition, June 2016](#)

h. [Presidential Policy Directive 40 (PPD-40), July 15, 2016](#)

i. [Presidential Policy Directive (PPD) 8, National Preparedness, March 30, 2011](#)

j. [Telework Enhancement Act of 2010, December 2010](#)

k. [Washington, DC, Area Dismissal and Closure Procedures, Office of Personnel Management (OPM), November 2018](#)

531.4.2   Internal Mandatory References
Effective Date: 10/11/2019

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](#)

531.5   ADDITIONAL HELP
Effective Date: 10/11/2019

There are no additional help documents for this chapter.

531.6 DEFINITIONS
Effective Date: 03/29/2017

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
Accountable person from each B/IO at the Deputy Assistant Administrator or Senior AMS Officer level at a minimum, who represents their B/IO at the Continuity Working Group (CWG) meetings. Ensure continuity information is relayed from the Continuity Manager to those responsible within each B/IO, and provides recommendations for continuity policy of same. The Agency Continuity Coordinator is supported primarily by the Continuity Manager and by other continuity planners or coordinators, at their subordinate levels (mainly HMD) and throughout the agency. (**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 them 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 National Essential Functions (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**)

Continuity Evaluation Tool (CET)
Establishes evaluation criteria and a grading scale for an accurate assessment of the Agency's entire continuity program. Composed of separate Annexes – A-N, with N being the Annex used for exercise evaluations.

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

Continuity Status Report (CSR)
Monthly report submitted to FEMA via the Cross Domain Server (CDS) utilizing an RSA Token. Report indicates the status of the Agency's continuity program utilizing the Continuity Evaluation Tool (CET). (**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 essential functions 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 essential functions for an extended period. Devolution is a continuity option instead of or in conjunction with relocation in order to ensure the continued performance of essential functions. (**Chapter 531**)

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

Devolution Reconstitution Manager
Coordinates with the USAID Continuity Manager for preparedness and training activities and to the USAID Incident Commander during the recovery phases of an incident or exercise. (**Chapter 531**)

Devolution Site
Locations used to carry out essential functions 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 (EOR)
Records that support the execution of an organization's essential functions. (**Chapter 531**)

Emergency Relocation Group (ERG)
Staff assigned responsibility to continue essential functions 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. The functions an organization must continue in a continuity situation. (**Chapter 531**)

Essential Records
Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions 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. (**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 Essential Functions. 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 Continuity Advisory Group (CAG) and in consultation with the Continuity Policy Coordination Committee (CPCC), 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**)

Interoperable Communications
Communications that provide the capability to perform essential functions, 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." (**Chapter 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. (**Chapter 405** and **531**)

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

Warm Site
An alternate operating facility of the organization, with 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**)

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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