

Continuity of Operations Plan

The Federal Executive Board of Minnesota

October 11, 2012

5600 American Blvd., W, Suite 940

Bloomington, MN 55437-1461



This page is intentionally left blank.

TABLE OF CONTENTS

I.	Promulgation Statement.....	4
II.	Record of Changes.....	5
III.	Record of Distribution	5
IV.	Purpose, Scope, Situations, and Assumptions	5
	A. Purpose.....	5
	B. Scope.....	6
	C. Situation Overview	6
	D. Planning Assumptions	6
	E. Objectives	7
	F. Security and Privacy Statement	8
V.	Concept of Operations	9
	A. Phase I: Readiness and Preparedness.....	9
	B. Phase II: Activation and Relocation	10
	C. Phase III: Continuity Operations	13
	D. Phase IV: Reconstitution Operations	14
VI.	Direction, Control, and Coordination	15
VII.	Disaster Intelligence.....	15
VIII.	Communications	15
IX.	Budgeting and Acquisition	16
X.	Plan Development and Maintenance	16
XI.	Authorities and References	16
FUNCTIONAL ANNEXES:		
I.	Essential Functions	19
II.	Vital Records Management.....	19
III.	Continuity Facilities.....	20
IV.	Continuity Communications	21
V.	Leadership and Staff	21
	A. Orders of Succession.....	21
	B. Delegations of Authority.....	22
	C. Human Capital	23
VI.	Test, Training, and Exercises Program	22
ANNEX A. ORDER OF SUCCESSION AND DELEGATION OF AUTHORITY		
ANNEX B. AUTHORITIES AND REFERENCES		
ANNEX C. ACRONYMS.....		
ANNEX D. GLOSSARY.....		
ATTACHMENT A: Occupant Emergency Plan (OEP) for Norman Pointe II Building		
ATTACHMENT B: Maps to Continuity Facilities		

I. Promulgation Statement

The mission of The Federal Executive Board is to increase the effectiveness of the Federal government by strengthening coordination of government activities.

To accomplish this mission, The Federal Executive Board of Minnesota (FEB of MN) must ensure its operations are performed efficiently and with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the continuity of operations plan and programs of The Federal Executive Board of Minnesota to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

The key personnel to be relocated under this plan are collectively known as the Emergency Relocation Group. Upon plan activation, these members will deploy to their respective telework address. Upon arrival, continuity personnel must establish operational capability and perform essential functions within 12-hours from the time of the activation of the continuity plan. Continuity operations must be available at the continuity facilities for up to 30-days, or until normal operations can be resumed.

This plan has been developed in accordance with guidance in Executive Order (EO) 12656, *Assignment of Emergency Preparedness Responsibilities*; National Security Presidential Directive – 51/Homeland Security Presidential Directive – 20, *National Continuity Policy*; Homeland Security Council, *National Continuity Policy Implementation Plan*; Federal Continuity Directive (FCD) 1, *Federal Executive Branch National Continuity Program and Requirements*, February 2008; Federal Executive Board of Minnesota Management Directive and other related Directives and guidance.



Joseph Schmitt
Executive Director
Federal Executive Board of Minnesota
August 16th, 2012

II. Record of Changes

When changes are made to the continuity plan outside the official cycle of plan review, coordination or update, planners should track and record these changes. The changes must be reflected on the document title, prior to saving the plan on the appropriate media.

III. Record of Distribution

When this document is distributed, a copy of that distribution will be maintained to ensure accountability of all documents.

Document Transmittal Record

Date of Delivery	Number of Copies Delivered	Method of Delivery	Name, Title, and Organization of Receiver

IV. Purpose, Scope, Situations, and Assumptions

A. PURPOSE

The mission of the Federal Executive Board of Minnesota is to increase the effectiveness of the Federal government by strengthening coordination of government activities.

The goal of the Federal Executive Board is to:

- Promote and deliver programs and services related to Emergency Preparedness, Security and Employee Safety.
- Promote and deliver programs and services related to Workforce Development and Support.
- Promote and deliver programs and services relate to Intergovernmental, Interagency Collaboration and Community Outreach.
- Support the Federal Executive Board network by building the capacity of all Federal Executive Boards and improving commonalities within the network’s administrative functions.

To accomplish this mission and these goals, The Federal Executive Board of Minnesota must ensure its operations are performed efficiently and with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the Continuity of Operations Plan for The Federal Executive Board of Minnesota. This plan will ensure the organization is capable of conducting its essential missions and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on the missions, personnel, and facilities of The Federal Executive Board of Minnesota.

The overall purpose of continuity of operations planning is to ensure the continuity of the National Essential Functions (NEFs) under all conditions. The changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity of operations capabilities and plans that enable agencies to continue their essential functions across a spectrum of emergencies. These conditions, coupled with the potential for a terrorist's use of weapons of mass destruction, have increased the importance of having continuity programs that ensure continuity of essential government functions across the Federal Executive Branch.

B. SCOPE

This plan applies to the functions, operations, and resources necessary to ensure the continuation of essential functions of The Federal Executive Board of Minnesota, in the event the normal operations at 5600 American Blvd. W, Suite 940, Bloomington, MN 55437-1461 are disrupted or threatened with disruption. This plan applies to all Minnesota Federal Executive Board personnel. Federal Executive Board of Minnesota staff must be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

C. SITUATION OVERVIEW

According to NSPD 51/HSPD 20, the policy of the United States is to maintain a comprehensive and effective continuity capability, which is composed of Continuity of Operations and Continuity of Government programs. These programs ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions (NEF) under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies.

Further, continuity planning must be based on the assumption that organizations will not receive warning of an impending emergency. As a result, a risk assessment is essential to focusing continuity planning. Risk-specific appendices that address the results of the Federal Executive Board of Minnesota risk assessment are found later in the plan. The risk assessment and Occupant Emergency Plan (OEP) for Norman Pointe II Building was developed by Rob McGuinn at Fish & Wildlife Services and is attached to this plan.

D. PLANNING ASSUMPTIONS

This continuity plan is based on the following assumptions:

- An emergency condition may require the relocation of The Federal Executive Board staff members to the continuity facilities. The address for each location is found in Functional Annex III-*Continuity Facilities*. A map to each facility is attached to this plan.
- The telework sites will support staff members and the continuation of the essential functions of The Federal Executive Board of Minnesota within 12-hours, or less, from the time the Continuity of Operations Plan is activated. The planning will ensure the continuity facilities can maintain operations up to 30-days, or until normal operations can be resumed.

- The Federal Executive Board of Minnesota regional operations are unaffected and available to support actions directed by the Executive Director or his/her successor. However, in the event that staff deployment is not feasible due to the loss of personnel, the Federal Executive Board of Minnesota will rely on to the procedures outlined in Functional Annex V.B - *Delegations of Authority*.

In addition to the above planning assumptions, The Federal Executive Board of Minnesota plans for five basic scenarios that may disrupt normal business activities:

1. PLANNING SCENARIO 1: NORMAN POINTE II BUILDING ALONE AFFECTED:

Under this scenario, the Norman Pointe II Building is closed for normal business activities, but the cause of the disruption has not affected surrounding buildings, utilities, or transportation systems.

2. PLANNING SCENARIO 2: NORMAN POINTE II BUILDING, MINNEAPOLIS/ST. PAUL INTERNATIONAL AIRPORT, MALL OF AMERICA AND SURROUNDING AREA AFFECTED:

Under this scenario, the Federal Executive Board of Minnesota office, as well as local businesses, will be closed for normal business activities as a result of a catastrophic event.

3. PLANNING SCENARIO 3: WASHINGTON METROPOLITAN AREA AFFECTED:

Under this scenario, the entire Washington area would be closed for normal business activities as a result of an actual or threatened use of a weapon of mass destruction, or other applicable threat/catastrophe. In this instance, the Federal Executive Board of Minnesota will plan for applicable communication, support networks, human capital needs, or other resources being interrupted.

4. PLANNING SCENARIO 4: TWIN CITIES METROPOLITAN AREA AND/OR STATE OF MINNESOTA AFFECTED:

Under this scenario, the entire Twin Cities area would be closed for normal business activities as a result of an actual or threatened use of a weapon of mass destruction, a natural catastrophe, or any other threat.

5. PLANNING SCENARIO 5: SHUT DOWN OF GOVERNMENT OPERATIONS:

Under this scenario, the Norman Pointe II Building is operational, but normal business operations are suspended for other reasons such as a lapse in appropriations or regional snow emergency.

E. OBJECTIVES

The continuity planning objectives that all Federal Executive Branch departments and agencies are required to meet are identified in Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated February 2008.

The Federal Executive Board of Minnesota continuity objectives are listed below:

- (1) Ensure that the Federal Executive Board of Minnesota can perform its Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), if applicable, under all conditions.
- (2) Reduce the loss of life and minimize property damage.
- (3) Execute a successful order of succession, with accompanying authorities, in the event a disruption renders the Federal Executive Board of Minnesota leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of the office.
- (4) Reduce or mitigate disruptions to operations.
- (5) Ensure that the Federal Executive Board of Minnesota has facilities where it can continue to perform its MEFs and PMEFS, as appropriate, during a continuity event.
- (6) Protect essential facilities, equipment, records, and other assets, in the event of a disruption.
- (7) Achieve The Federal Executive Board of Minnesota’s timely and orderly recovery and reconstitution from an emergency.
- (8) Ensure and validate continuity readiness through a dynamic and integrated continuity test, training, and exercise program and operational capability.

F. SECURITY AND PRIVACY STATEMENT

This document is categorized as: *“For Official Use Only.”* Portions of this plan contain information that raises personal privacy or other concerns, and those portions may be exempt from mandatory disclosure under the Freedom of Information Act (see 5 United States Code §552, 41 Code of Federal Regulations Part 105-60). This document is to be controlled, stored, handled, transmitted, distributed, and disposed of, in accordance with current data records policy and is not to be released to the public, or other personnel who do not have a valid official need to know, without prior approval of the Executive Director.

Some of the information in this plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of The Federal Executive Board of Minnesota, or otherwise impair its ability to carry out essential functions. Distribution of the continuity plan in whole, or in part, is limited to personnel with an official need to successfully implement the plan.

The Federal Executive Board of Minnesota will distribute copies of the continuity plan to personnel, based on official needs. This plan will be stored in the contingency brief cases of the Executive Director and Assistant Director of the Federal Executive Board of Minnesota. In addition, copies of the plan will be distributed to other organizations, as necessary, to promote information sharing and facilitate a coordinated interagency continuity effort. Further distribution of the plan, in hardcopy or electronic form, is not allowed without prior approval from the Executive Director. The Federal Executive Board of Minnesota will distribute updated versions of the continuity plan annually or as critical changes occur.

V. Concept of Operations

A. PHASE I: READINESS AND PREPAREDNESS

The Federal Executive Board of Minnesota participates in a full spectrum of readiness and preparedness activities to ensure its personnel can continue essential functions in an all-hazard risk environment.

Organization Readiness and Preparedness

The Federal Executive Board of Minnesota has established internal plans and procedures for executing agency functions based on the NTAS alert regarding *imminent threat* or *elevated threat*. The staff of The Federal Executive Board of Minnesota will monitor changes in the NTAS alert system. Also, the staff of The Federal Executive Board of Minnesota will monitor various governmental intelligence reports or communications, non-governmental intelligence reports, and local or national news organizations for any threat or hazard that may affect the service of The Federal Executive Board of Minnesota.

The Executive Director will ensure that employees are provided appropriate communication systems at continuity facilities, in the event of relocation. The Executive Director will ensure these systems are pre-positioned and available for activation with little or no warning, prior to a continuity event.

Staff Readiness and Preparedness

The personnel of The Federal Executive Board of Minnesota must prepare for a continuity event. This planning must include continuity operations and relocation. The staff of The Federal Executive Board must prepare to accomplish all tasks from a continuity facility. This preparedness must plan for relocation, with or without any prior warning.

The Federal Executive Board of Minnesota uses a variety of electronic databases, communication systems, and electronic storage systems to accomplish their daily missions. To ensure successful continuity operations, each staff member must maintain a comprehensive list of individual and group usernames & passwords. These lists must be accessible from the continuity facility of each staff member.

In addition to professional planning, each staff member should develop a Family Support Plan to increase personal and family preparedness. To develop your Family Support Plan, staff should use the templates available at www.ready.gov. This site includes a “Get Ready Now” pamphlet, which explains the importance of planning and provides a template that you and your family can use to develop your specific plan. If you need assistance in creating your family support plan, please contact the Executive Director, Federal Executive Board of Minnesota.

The continuity personnel of The Federal Executive Board of Minnesota have the responsibility to create and maintain drive-away kits. Continuity personnel are responsible for carrying the kits to the continuity facility or pre-storing the kits at the continuity site. The Executive Director has identified what these kits may contain in the following table, which is located below.

Drive Away Kit

- | | |
|---|--|
| <ul style="list-style-type: none">• Identification and charge cards to bring:<ul style="list-style-type: none">○ Government identification card○ Government travel card○ Personal and gov't charge card• Communication equipment<ul style="list-style-type: none">○ Pager/BlackBerry accessories○ Government cell phone○ Government Emergency Telephone Service card (GETS)○ Wireless Priority Service card(WPS)• Hand-carried vital records• Directions to all continuity facilities | <ul style="list-style-type: none">• Business and personal contact numbers<ul style="list-style-type: none">○ Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)• Chargers/Extra Batteries for phones, GPS, and laptop, etc.• Medical needs<ul style="list-style-type: none">○ List of allergies/blood type• Flashlight• Continuity of Operations Plan (COOP CD)• List of usernames & passwords for websites/on-line services• Maps to State of MN EOC, PODS, etc. |
|---|--|

In order to maintain currency of drive-away kits, The Executive Director, Federal Executive Board of Minnesota, directs employees to inspect, inventory, and update the drive-away kits in conjunction with annual COOP training/exercises.

B. PHASE II: ACTIVATION AND RELOCATION

To ensure the ability to attain operational capability at continuity sites, with minimal disruption to operations, The Federal Executive Board of Minnesota has developed activation and relocation plans, which are captured in the following sections.

Decision Process

Based on the type and severity of the emergency situation, The Federal Executive Board of Minnesota Continuity Plan may be activated by one of the following methods:

- (1) The President may initiate Federal Executive Branch continuity activation
- (2) The Executive Director, Federal Executive Board of Minnesota, or a designated successor, may initiate the continuity plan activation for the entire organization, based on an emergency, catastrophe, or threat directed at the organization

The activation of the continuity plan is a scenario-driven process which allows a flexible and scalable response to a broad spectrum of emergencies and events that could disrupt operations of The Federal Executive Board of Minnesota. Activation of the continuity plan is not required for all emergencies or disruptive situations, since other actions may be deemed appropriate. The decision to activate the continuity plan of The Federal Executive Board of Minnesota is tailored for the current situation, based upon projected or actual impact and severity.

The Executive Director is assigned as the primary decision-making authority. Therefore, the Executive Director will be kept informed of the threat environment using all available means, including official government intelligence reports and communications, national/local reporting channels, and news media.

Alert and Notification Procedures

The Federal Executive Board of Minnesota maintains plans and procedures for communicating and coordinating activities with personnel before, during, and after a continuity event.

Prior to an event, personnel in the Federal Executive Board of Minnesota must monitor advisory information, including the DHS National Terrorism Advisory System (NTAS), the Federal Government Response Stages for Pandemic Influenza, intelligence reports, and any other available means. In the event normal operations are interrupted, or if an incident appears imminent, the Federal Executive Board of Minnesota will take the following steps to communicate the organization's operating status with all staff:

The Executive Director, or designee, will notify the Office of Personnel Management (OPM) Headquarters of the emergency requiring continuity activation. The Executive Director, or appointed designee, will follow the emergency notification procedures issued on October 4th, 2007, and listed below.

1. The Executive Director will contact, in priority order, the individuals listed below to notify OPM of an emergency situation that affects the Federal Executive Board of Minnesota's workforce/operations. The following information is required:
 - 1) Description/time of the emergency event
 - 2) Status of situation
 - 3) Effect on FEB Office staff/function
 - 4) Effect on Federal workforce/operations

OPM Contacts:

Paula L. Bridgham

Director, FEB Operations, OPM

O: 202-606-1251

Cell: 202-437-8686

Home: 703-250-4097

Email: paula.bridgham@opm.gov

Kimberly Moore

Program Manager, Emergency Preparedness, OPM

O: 202-606-1230

Cell: 202-498-9738

Email: kimberly.moore@opm.gov

Copy: Anita Spinner

Program Manager

FEB Operations, OPM

O: 202-606-1010

Cell: 240-997-6304

Email: Anita.spinner@opm.gov

Copy: Lindsey Stevenson

Program Analyst

FEB Operations, OPM

O: 202-606-1010

Cell: 301-655-8067

Email: Lindsey.stevenson@opm.gov

OPM Situation Room

O: 202-418-0111

Toll Free: 1-866-242-2429

Email: usopmsr@opm.gov

OPM contacts listed above notify senior OPM officials via email and phone.

2. Upon the decision to activate the continuity plan, or to reconstitute following an event, the Executive Director, or designated authority, will notify all agency personnel, as well as affected and interdependent entities, with information regarding continuity activation and relocation status, operational and communication status, and the anticipated duration of relocation.
3. The Executive Director must notify the current chair of the Federal Executive Board of Minnesota and two committee members of the emergency. These procedures are outlined in Eagle Horizon (EH) communications procedures.
4. The Federal Executive Board of Oklahoma has been designated the primary devolution site for this office. In the event of any emergency that may greatly affect the operations of The Federal Executive Board of Minnesota; the Executive Director will contact the Executive Director of Oklahoma-FEB and provide the appropriate information during an emergency.
5. The Executive Director will provide periodic status reports to OPM and other contacts listed above. The reports will include common issues of concern to local agencies.
6. FEB/OPM contact is maintained until closure of the incident.
7. The Federal Executive Board of Minnesota personnel will notify family members, next of kin, and/or emergency contacts of the continuity plan activation.
8. The Executive Director will notify the Minnesota Bureau of Criminal Apprehension (BCA) Duty officer during any continuity operation.

Minnesota Duty Officer

Phone: (651) 649-5451 or 1-800-422-0798

Satellite phone: (254) 543-6490

Fax: (651) 296-2300

TDD: 711

Ops Center Main: (651) 793-7000

9. The Executive Director will ensure student interns, and other appropriate individuals, are notified of the emergency via the “Send Word Now” or the Communicator!NXT notification system, or other appropriate means.

Relocation Process

Following activation of the continuity plan and notification of personnel, the Federal Executive Board of Minnesota must move personnel and vital records to a continuity facility. Upon activation, personnel will deploy to the assigned continuity facility to perform essential functions and other continuity tasks. The continuity facilities of the Federal Executive Board of Minnesota are the telework addresses of the staff. The Executive Director and Assistant Director have been identified as continuity personnel and are considered the Emergency Relocation Group (ERG). Therefore, maps and directions to all of the continuity facilities are attached to this plan and stored within the contingency brief cases of the Executive Director and Assistant Director.

The relocation process must be available during working or non-working hours. At the time of notification, staff will proceed to their continuity facility, or other facility deemed appropriate by the Executive Director, by any means available, while accounting for safety.

Upon arrival at the continuity facility, Federal Executive Board of Minnesota continuity personnel will:

- Retrieve pre-positioned information and activate specialized systems or equipment.
- Report immediately to the Executive Director, or assigned designee, the status of personnel and equipment.
- Receive all applicable instructions.
- Ensure appropriate emergency notifications have been completed. These notification procedures are outlined in Alert and Notification Procedures, section *V.B-Phase II Activation and Relocation*.
- Monitor the status of the Federal Executive Board of Minnesota personnel and resources.
- Continue the essential functions of The Federal Executive Board of Minnesota.
- Prepare and disseminate instructions and reports, as required.

If any personnel are delayed while moving to their respective continuity facility, they must ensure the Executive Director is notified of the nature and expected duration of the delay.

C. PHASE III: CONTINUITY OPERATIONS

Upon activation of the Continuity of Operations Plan, The Federal Executive Board of Minnesota will continue to operate at its primary operating facility until ordered to cease operations by the Executive Director, or designated authority. At that time, essential functions will transfer to the continuity facilities. The Federal Executive Board of Minnesota must ensure that the continuity plan can become operational within the minimal acceptable period for Mission Essential Functions (MEF) disruption, but in all cases within 12-hours of plan activation. During Continuity Operations, the Executive Director will prioritize essential functions and services.

A significant requirement of continuity personnel is to account for all Federal Executive Board of Minnesota personnel. The Executive Director will ensure accountability of all

staff members. In the event the Executive Director is unable to fulfill this responsibility, this task will be delegated to the individuals outlined in the Delegation of Authority and Order of Succession, found in Functional Annex V.A-*Order of Succession* and V.B-*Delegations of Authority*.

D. PHASE IV: RECONSTITUTION OPERATIONS

Within 24 hours of an emergency relocation, the Executive Director will initiate and coordinate operations to salvage, restore, and recover the Federal Executive Board of Minnesota's primary operating facility after receiving approval from the appropriate local, State, and Federal law enforcement and emergency services:

- The Executive Director will serve as the Reconstitution Manager for all phases of the reconstitution process. However, the Executive Director may delegate responsibilities to appropriate personnel.

During continuity operations, the Executive Director, or appropriate designee, must access the status of the facilities affected by the event by contacting the General Services Administration (GSA) contact for Norman Pointe II, 5600 American Blvd., W, Suite 940 Bloomington, MN 55437-1461 or the local fire department/emergency responder personnel. The Executive Director will determine how much time is needed to repair the affected facility. This decision should be in conjunction with the GSA contact for Norman Pointe II. The Fish & Wildlife Service is a major tenant of the 9th floor. Therefore, the Executive Director may coordinate repair/clean-up services with this organization.

Reconstitution procedures will commence when the Executive Director, or other authorized person, ascertains that the emergency situation has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity of Operations Plan. Once the appropriate Federal Executive Board of Minnesota authority has made this determination, in coordination with other Federal and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue operations from the continuity facility.
- Reconstitute the primary operating facility of The Federal Executive Board of Minnesota and begin an orderly return to the facility.
- Establish a reconstituted Federal Executive Board of Minnesota at another facility within the metro area or at another designated location.
- Devolve operations to the Federal Executive Board of Oklahoma.

Prior to relocating back to the current primary operating facility or any other facility, the Executive Director will ensure appropriate security, safety, and health assessments have been conducted at the operating facility and determine building suitability. In addition, the Executive Director will verify that all systems, communications, and other required capabilities are operational and that The Federal Executive Board of Minnesota is fully capable of accomplishing all essential functions and operations at the new or restored facility.

Upon verification that the required capabilities are operational and that the Federal Executive Board of Minnesota is fully capable of accomplishing all essential functions and operations at the new or restored facility, the Executive Director will begin supervising a

return of personnel, equipment, and documents to the normal operating facility or a move to another temporary or permanent primary operating facility.

The Executive Director, or appropriate designee, will identify any records affected by the incident through audit and inspection of equipment and records. In addition, the Executive Director, or appropriate designee, will effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records.

The Federal Executive Board of Minnesota will conduct an After Action Review (AAR) once it is back in the primary operating facility or established in a new primary operating facility. The Executive Director has the responsibility for initiating and completing the AAR. All personnel within the Federal Executive Board of Minnesota will have the opportunity to provide input to the AAR. This AAR will study the effectiveness of the continuity plans and procedures, identify areas for improvement, and document these in the Federal Executive Board of Minnesota's corrective action program (CAP). Then, the Executive Director will develop a remedial action plan to address deficiencies. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with Department of Interior to ensure the "O-drive" and other appropriate electronic media is maintained.

VI. Direction, Control, and Coordination

During an activation of the Continuity Plan, the Executive Director maintains responsibility for direction and control of The Federal Executive Board of Minnesota. Should the Executive Director become unavailable or incapacitated; the organization will follow the directions laid out in Functional Annex V.A, *Orders of Succession*, and Functional Annex V.B, *Delegations of Authority*.

The Federal Executive Board of Minnesota is prepared to transfer all of the essential functions and responsibilities to personnel at a different location, should emergency events render leadership or staff unavailable to support the execution of the essential functions of The Federal Executive Board of Minnesota. If deployment of continuity personnel is not feasible, due to the unavailability of personnel, temporary leadership of the Federal Executive Board of Minnesota will devolve the Federal Executive Board of Oklahoma.

VII. Disaster Intelligence

During a continuity event, the Federal Executive Board of Minnesota will require the collection and dissemination of critical information to stakeholders within Minnesota. This information includes updating the Weather Alert System, the Send Word Now and Communicator!NXT emergency messaging systems, and any other system deemed essential by the Executive Director.

VIII. Communications

The Federal Executive Board of Minnesota has identified redundant critical communication systems that are located at the primary operating facility and continuity facility. Further, The Federal Executive Board of Minnesota maintains fully capable continuity communications that support organizational needs during any hazard, including pandemic flu and other related emergencies. These systems give full consideration to supporting social distancing operations including telework and other virtual offices.

All required communications and IT capabilities for the Federal Executive Board of Minnesota must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation.

All staff are required to maintain the ability to access comprehensive lists of any required usernames & passwords for internet access and on-line access to critical communication devices and vital records at their respective continuity facility. Staff must plan for the possibility that all records within the Norman Pointe II building may be destroyed, due to catastrophe or natural disaster.

IX. Budgeting and Acquisition

The Federal Executive Board of Minnesota integrates the continuity budget with its multiyear strategy and program management plan and links the budget directly to objectives and metrics set forth in that plan.

In the event the continuity plan is activated, The Federal Executive Board of Minnesota may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The Executive Director and Assistant Director, or any appropriate designee, maintains the authority for emergency procurement. Emergency procurement procedures will follow standardized procurement procedures of The Federal Executive Board of Minnesota.

X. Plan Development and Maintenance

The Executive Director, Federal Executive Board of Minnesota, is responsible for maintaining the Federal Executive Board of Minnesota Continuity of Operations Plan.

The continuity plan, the essential functions, and the supporting activities of the Federal Executive Board of Minnesota, will be annually reviewed and updated by the Assistant Director as part of the annual maintenance and training of continuity plans and procedures. In addition, the plan will be updated or amended when there are significant organizational or procedural changes or other events that impact continuity processes or procedures. Comments or suggestions for improving this plan may be provided to the Assistant Director at any time.

XI. Authorities and References

The following are the authorities and references for this FCD.

- 1) The National Security Act of 1947 (50 U.S.C. § 404), July 26, 1947.
 - 2) Homeland Security Act of 2002 (6 U.S.C. § 101 *et seq.*), November 25, 2002.
 - 3) Executive Order 12148, *Federal Emergency Management*, July 20, 1979, as amended.
 - 4) Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, April 3, 1984, as amended.
 - 5) Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, November 18, 1988, as amended.
 - 6) Executive Order 13286, *Establishing the Office of Homeland Security*, February 28, 2003.
-

- 7) National Security Presidential Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, May 9, 2007.
- 8) Homeland Security Presidential Directive 7, *Critical Infrastructure Identification, Prioritization, and Protection*, December 17, 2003.
- 9) Homeland Security Presidential Directive 8, *National Preparedness*, December 17, 2003.
- 10) National Continuity Policy Implementation Plan, August 2007.
- 11) National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, July 25, 2007.

REFERENCES:

- 1) 36 Code of Federal Regulations, Part 1236, *Management of Vital Records*.
- 2) 41 Code of Federal Regulations 101.20.103-4, *Occupant Emergency Program*.
- 3) Presidential Decision Directive 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas*, May 22, 1998.
- 4) Homeland Security Presidential Directive 1, *Organization and Operation of the Homeland Security Council*, October 29, 2001.
- 5) Homeland Security Presidential Directive 3, *Homeland Security Advisory System*, March 11, 2002.
- 6) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, February 28, 2003.
- 7) Homeland Security Presidential Directive 12, *Policy for a Common Identification Standard for Federal Employees and Contractors*, August 27, 2004.
- 8) National Infrastructure Protection Plan, January 2006.
- 9) National Strategy for Pandemic Influenza, November 1, 2005.
- 10) National Strategy for Pandemic Influenza Implementation Plan, May 2006.
- 11) National Exercise Program Implementation Plan, April 2007.
- 12) National Incident Management System (NIMS), March 1, 2004.
- 13) NIST Special Publication 800-34, *Contingency Planning Guide for Information Technology Systems*, June 2002.
- 14) NIST Special Publication 800-53, *Recommended Security Controls for Federal Information Systems*, December 2006.
- 15) NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2007 Edition.

This page is intentionally left blank.

FUNCTIONAL ANNEXES

I. Essential Functions

To identify, prioritize, and document essential functions, the Federal Executive Board of Minnesota first identified all government functions and missions and reviewed which functions were directed by applicable laws, presidential directives, executive orders, and other directives. The Federal Executive Board of Minnesota's functions are listed below:

National Essential Functions (NEF):

The Federal Executive Board of Minnesota does not have any identified NEFs

Primary Mission Essential Functions (PMEF):

The Federal Executive Board of Minnesota does not have any identified PMEFs

Mission Essential Functions:

- *Emergency Preparedness, Security and Employee Safety*
 - To promote interagency communication, shared resources, and workforce education on emergency preparedness
- *Workforce Development and Support*
 - To promote and distribute information on Federal workforce programs
- *Intergovernmental and Interagency Collaboration and Community Outreach*
 - To advance local and national initiatives through intergovernmental and interagency collaboration and community outreach
- *Performance Improvement*
 - To build the capacity of the FEB network and to improve administrative functions through continuous assessment of FEB processes
- *All other functions outlined in strategic outlook, FY 2013-2017. These functions are detailed within the Strategic and Operational Plan.*

Government Functions:

1. Update National Weather Service (NWS) alerts on website.
2. Send emergency alert notification to other federal agencies via our two notification systems.
 - a. Website: www.sendwordnow.com
Username: FEB-SWN
Password: thankyouintern1
 - b. Website: <http://dcc.um-jmh.org/NXTPortal/login.aspx>
Username: TBD
Password: TBD
3. Every resource will be leveraged to quickly reestablish the many councils and committees that are sponsored by the FEB. Prioritization of their reconstitution will be determined by the Executive Director, Assistant Director, and key board members.

II. Vital Records Management

“Vital records” refers to information systems and applications, electronic and hardcopy documents, references, and records, to include classified or sensitive data, needed to support essential functions during a continuity event. The Federal Executive Board of

Minnesota has incorporated its vital records program into the overall continuity program, plans, and procedures.

Identifying Vital Records

The Federal Executive Board of Minnesota maintains a complete inventory of vital records, along with the locations and instructions on accessing those records. The electronic records are stored on the O-drive and are maintained by the Department of the Interior (DOI). These records are maintained and safeguarded through DOI procedures. The Executive Director must ensure these records can be accessed from each continuity facility.

In the event the primary facility is damaged, destroyed, or otherwise inaccessible, the Executive Director will ensure all hardcopy vital records are scanned, if appropriate, and electronically stored within the O-drive, which is maintained by DOI. The Executive Director will ensure any vital records requiring original signatures/copies will be safely stored within the primary facility and available for movement to the continuity facility.

As part of the annual continuity plan review/training, the Executive Director will ensure any hardcopy records are identified and stored in accordance with the current Vital Records Procedures.

III. Continuity Facilities

The Continuity Facility for the Federal Executive Board of Minnesota is the registered telework address for each employee.

Executive Director: 833 Germain Lane, Hudson, WI 54016

Home Phone: (715) 690-2833

Mobile: (612) 501-3667 or (715) 441-2142

Spouse: Nancy Schmitt

Map located in ATTACHMENT B.

Assistant Director: 5124 Zenith Ave. South, Minneapolis, MN 55410

Home Phone: N/A

Mobile: (612) 501-3668

Spouse: N/A

Map located in ATTACHMENT B.

Each employee shall ensure their respective continuity facility maintains the ability to access all required systems and communication networks. Also, each staff shall ensure a list of required usernames/passwords is accessible at the continuity facility.

Identification of Continuity Personnel

In order to continue its government functions, The Federal Executive Board of Minnesota has determined the Executive Director and Assistant Director are necessary to relocate under continuity plan activation. The Executive Director will ensure all staff members are aware of the capabilities of their respective alternate facility site and trained to complete the functions outlined in Functional Annex I-*Essential Functions*.

IV. Continuity Communications

The Federal Executive Board of Minnesota has identified redundant critical communication systems that are located at the continuity facility. Further, the Federal Executive Board of Minnesota maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic flu and other related emergencies, and give full consideration to supporting social distancing operations, including telework and virtual offices.

During an event that requires The Federal Executive Board of Minnesota to relocate to the continuity facilities, staff will be required to use their government issued cellphone and laptop computers to communicate and to conduct essential functions of the Federal Executive Board. Staff will ensure the Wireless Priority Service (WPS) and Government Emergency Telephone Service (GETS) cards are accessible from the continuity facilities.

All necessary communication and IT capabilities of The Federal Executive Board of Minnesota must be operational as soon as possible following continuity activation, and in all cases within 12-hours of continuity activation. The Executive Director will ensure the staff computers are capable of secure access to all required websites, network servers, and programs from the continuity facility to ensure continuous operations of essential functions.

The Federal Executive Board staff will relocate to separate continuity facilities during a major event. Therefore, the Executive Director will ensure redundant communication capabilities are at the continuity facilities. These may include: email, cellphone, land-line phone, and any other system deemed necessary by the Executive Director.

V. Leadership and Staff

A. ORDERS OF SUCCESSION

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision making authority. The Federal Executive Board of Minnesota has identified successors for the positions of the Executive Director. A copy of these orders of succession is found *ANNEX A-Order of Succession/Delegation of Authority*. The Executive Director is responsible for ensuring orders of succession remain current.

The Federal Executive Board of Minnesota's order of succession is:

1. Assistant Director
2. Policy Board Chair
3. 1st Vice Chair, Policy Board

In the event of a change in leadership status, The Federal Executive Board of Minnesota must notify the successors, as well as internal and external stakeholders. These contacts include all board members, as well as the emergency contact information noted in section Phase II: *Alert and Notification Procedures*.

The training records of The Federal Executive Board of Minnesota shall document the conduct of annual successor training for all personnel who assume the authority and responsibility of the organization's leadership. This documentation shall include briefing successors to the position of the Federal Executive Board of Minnesota on their responsibilities and duties as a successor.

B. DELEGATIONS OF AUTHORITY

Generally, The Federal Executive Board of Minnesota's pre-determined delegations of authority will take effect when normal channels of leadership are disrupted and terminate when these channels have resumed. Pre-determined delegations of authority may be particularly important in a devolution scenario.

The Federal Executive Board of Minnesota has identified the following delegations of authority:

- Delegations of Authority will follow the Orders of Succession outlined in this plan.
- A succession of officials to the position of Executive Director, in the case of absence, vacancy, or the inability of the Executive Director to act during an emergency or national security emergency.

The Federal Executive Board of Minnesota has informed those officials who might be expected to assume authorities during a continuity situation. Further, The Federal Executive Board of Minnesota has trained those officials who might be expected to assume authorities during a continuity situation, at least annually, for all pre-delegated authorities for making policy determinations. This training should be incorporated into the annual review and training cycle.

C. HUMAN CAPITAL CONSIDERATIONS

The Federal Executive Board of Minnesota continuity program, plans, and procedures incorporate existing agency-specific guidance and direction for human capital management, including guidance on pay, leave, work-scheduling, benefits, telework, hiring, authorities, and flexibilities. A variety of federal agencies conduct the human capital programs for the Federal Executive Board of Minnesota. The Executive Director has the responsibility for the maintenance and planning for the various Federal Executive Board of Minnesota human capital needs. The Executive Director will serve as the human capital liaison to work with all appropriate agencies when developing or updating the organization's emergency human capital plans.

Further, the Executive Director communicates human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) in an effort to help continue essential functions during an emergency. The Executive Director is responsible to ensure any employee that has a specific need during an emergency is referred to the appropriate agency or service.

VI. Test, Training, and Exercise Programs

Training and Maintenance

The Federal Executive Board of Minnesota maintains a robust TT&E program that complies with the DHS-mandated National Exercise Program, as appropriate. These mandates are outlined within the Federal Continuity Directives (FCDs) and other authorities referenced in section XI-*Authorities and References* and Functional Annex B-*Authorities and References*.

The Executive Director will ensure personnel are trained to remotely access the hard-drive, Send Word Now program and Communicator!NXT emergency notifications systems, National Weather Alert System, and other electronic functions deemed appropriate by the Executive Director, from the continuity facilities. This training will allow staff to become

familiarized with identification of the vital records, the location of the vital records, and the access procedures for remote access of the vital records and communication with vital business partners.

The Federal Executive Board of Minnesota performs TT&E events at regular intervals, in accordance with the requirements specified in FCD 1, throughout the year as depicted in the following table.

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems			✓	
Test alert, notification, and activation procedures for all continuity personnel			✓	
Test primary and backup infrastructure systems and services at continuity facilities			✓	
Test capabilities to perform MEFs			✓	
Test plans for recovering vital records, critical information systems, services, and data			✓	
Test and exercise of required physical security capabilities at continuity facilities			✓	
Test internal and external interdependencies with respect to performance of MEFs			✓	
Train continuity personnel on roles and responsibilities			✓	
Conduct continuity awareness briefings or orientation for the entire workforce			✓	
Train organization's leadership on PMEfs and MEFs				✓
Train personnel on all reconstitution plans and procedures				✓
Allow opportunity for continuity personnel to demonstrate familiarity with continuity plans and procedures and demonstrate organization's capability to continue essential functions			✓	
Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities			✓	
Conduct assessment of organization's continuity TT&E programs and continuity plans and programs			✓	
Report findings of all annual assessments as directed to FEMA				✓
Conduct successor training for all organization personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation				✓
Train on the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation for all staff involved in the vital records program			✓	
Test capabilities for protecting classified and unclassified vital records and for providing access to them from the continuity facility			✓	

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Train on an organization’s devolution option for continuity, addressing how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency			✓	
Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities, existing facilities, or virtual offices				✓
Allow opportunity to demonstrate intra- and interagency continuity communications capability				✓
Allow opportunity to demonstrate that backup data and records required for supporting essential functions at continuity facilities are sufficient, complete, and current				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures				✓

The Federal Executive Board of Minnesota formally documents and reports all conducted continuity TT&E events, including documenting the date of the TT&E event, the type of event, and names of participants. Documentation also includes test results, feedback forms, participant questionnaires, and any other documents resulting from the event. Continuity TT&E documentation is managed by the Executive Director and is electronically stored on the Department of Interior “O-drive”. The file is located at: **O:\FEB General Files\Emergency Preparedness\FEB COOP Update.**

Further, The Federal Executive Board of Minnesota conducts a comprehensive debriefing or “after action review” after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to organization’s continuity plan. Documentation from TT&E “after action reports” is found within folder: **O:\FEB General Files\Emergency Preparedness\FEB COOP Update.**

The Federal Executive Board of Minnesota has developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during continuity TT&E activities, assessments, and emergency operations. The Federal Executive Board of Minnesota CAP incorporates evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. The Federal Executive Board of Minnesota CAP is maintained by the Executive Director and CAP documentation is found at: **O:\FEB General Files\Emergency Preparedness\FEB COOP Update**

This page is intentionally left blank.

DELEGATION OF AUTHORITY / ORDER OF SUCCESSION

Federal Executive Board of Minnesota

Issued: October 5, 2012

PURPOSE

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at the Federal Executive Board of Minnesota to the Office of the Executive Director, in the event of a vacancy at that office, or the inability of the Executive Director to act during a disaster or national security emergency.

DELEGATION

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the Executive Director, Federal Executive Board of Minnesota, in case of my absence, inability to perform, or vacancy of the office, and until that condition ceases. In the event that the Office of the Executive Director is vacant as that term is used in the Federal Vacancies Reform Act of 1998, the Assistant Director shall act until a successor is appointed.

Designated Position

1. **Assistant Director:**

2. **Chair, Executive Board:**

3. **1st Vice Chair, Executive Board:** Vacant

Name:

Alyssa Poucher, FEB of MN

Robert DeWitt, US State Dept

Vacant

The individual serving in the #1 position identified above, is hereby designated the “First Assistant” for the purposes of the Federal Vacancies Reform Act of 1998. If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the Executive Director, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the Executive Director shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designed in the approved order of succession are eligible. Persons appointed to an acting basis to the above listed positions, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

AUTHORITIES

The Homeland Security Act of 2002, P.L. 107-296, as amended.

The Federal Vacancies Reform Act of 1998, 5 U.S.C. § 3345, *et seq.*, as amended.

CANCELLATION

The order of Delegation of Authority/Order of Succession to Office of the Executive Director, issued January 20th, 2010, is hereby rescinded.



Joseph Schmitt
Executive Director
Federal Executive Board
of Minnesota
October 5, 2012

ANNEX B: AUTHORITIES AND REFERENCES

The following are the authorities and references for this Federal Continuity Directive.

AUTHORITIES:

- 1) The National Security Act of 1947, dated July 26, 1947, as amended.
- 2) Executive Order 12148, *Federal Emergency Management*, dated July 20, 1979, as amended.
- 3) Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, dated April 3, 1984, as amended.
- 4) Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated November 18, 1988, as amended.
- 5) The Homeland Security Act of 2002 (Public Law 107-296), dated November 25, 2002.
- 6) Executive Order 13286, *Establishing the Office of Homeland Security*, dated February 28, 2003.
- 7) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.
- 8) Homeland Security Presidential Directive 7, *Critical Infrastructure Identification*, dated December 17, 2003.
- 9) Homeland Security Presidential Directive 8, *National Preparedness*, dated December 17, 2003.
- 10) National Security Presidential Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 9, 2007.
- 11) National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, dated July 25, 2007.
- 12) National Continuity Policy Implementation Plan, dated August 2007.
- 13) Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated February 2008.
- 14) Federal Continuity Directive 2 (FCD 2), *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, dated February 2008.

REFERENCES:

- 1) Presidential Decision Directive 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas*, dated May 22, 1998.
- 2) 36 Code of Federal Regulations, Part 1236, *Management of Vital Records*, revised as of July 1, 2000.

- 3) 41 Code of Federal Regulations 101.20.103-4, *Occupant Emergency Program*, revised as of July 1, 2000.
- 4) Homeland Security Presidential Directive 1, *Organization and Operation of the Homeland Security Council*, dated October 29, 2001.
- 5) NIST Special Publication 800-34, *Contingency Planning Guide for Information Technology Systems*, dated June 2002.
- 6) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.
- 7) National Incident Management System (NIMS), dated March 1, 2004.
- 8) Homeland Security Presidential Directive 12, *Policy for a Common Identification Standard for Federal Employees and Contractors*, dated August 27, 2004.
- 9) National Strategy for Pandemic Influenza, dated November 1, 2005.
- 10) National Infrastructure Protection Plan, dated 2006.
- 11) National Strategy for Pandemic Influenza Implementation Plan, dated May 2006.
- 12) NIST Special Publication 800-53, *Recommended Security Controls for Federal Information Systems*, dated December 2006.
- 13) National Exercise Program Implementation Plan, April 2007.
- 14) NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2007 Edition.
- 15) FEMA Continuity of Operations Plan Template Instructions.
- 16) FEMA Continuity of Operations Plan Template.
- 17) Comprehensive Preparedness Guide 101, *Producing Emergency Plans*, – Interim, FEMA, dated August 2008.

ANNEX C: ACRONYMS

This list should include acronyms used throughout the Continuity Plan and within the continuity of operations community. The following are acronyms used in this FCD.

AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
COGCON	Continuity of Government Conditions
DHS	Department of Homeland Security
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
GAO	Government Accountability Office
GETS	Government Emergency Telephone Service
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NCC	National Continuity Coordinator
NEF	National Essential Function
NSPD	National Security Presidential Directive
NTAS	National Terrorism Advisory System
OPM	Office of Personnel Management
PMEF	Primary Mission Essential Function
RRS	Readiness Reporting System
TT&E	Test, Training, and Exercise

ANNEX D: GLOSSARY

A glossary should contain a list of key words and phrases used throughout the Continuity Plan and within the continuity of operations community. Each key word and phrase should be clearly defined. The following are definitions of key terms used in this FCD.

Activation – Once a continuity of operations plan has been implemented, whether in whole or in part, it is considered “activated.”

Agencies – Federal departments and agencies means those executive departments enumerated in 5 U.S.C. 101, together with the Department of Homeland Security (DHS), independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the United States Postal Service. The departments, agencies, and independent organizations are referred to in this document as “organizations.”

Agency head – The highest-ranking official of the primary occupant agency, or a successor or designee who has been selected by that official.

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 events.

Alternate facilities – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity event. “Alternate facilities” refers to not only other locations, but also nontraditional options such as working at home (“teleworking”), telecommuting, and mobile-office concepts.

Business impact analysis (BIA) – A method of identifying the effects of failing to perform a function or requirement.

Business process analysis (BPA) – A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent in the execution of a function or requirement.

Catastrophic emergency – Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.

Category – This term refers to the categories of agencies listed in Annex A to NSPD-51/HSPD-20.

Communications – Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions of the organization. Robust communications help ensure that the leadership receives coordinated, integrated policy and operational advice and recommendations and will provide the ability for governments and the private sector to communicate internally and with other entities (including with other Federal agencies, State, local, territorial, and tribal governments, and the private sector) as necessary to perform their Mission Essential Functions (MEFs).

Continuity – An uninterrupted ability to provide services and support, while maintaining organizational viability, before, during, and after an event.

Continuity capability – The ability of an organization to continue to perform its essential functions, using continuity of operations and continuity of government programs and continuity requirements that have been integrated into the organization’s daily operations, with the primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions (NEFs) under all conditions. Building upon a foundation of continuity planning and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.

Continuity coordinators – Representatives of executive branch departments and agencies at the assistant secretary (or equivalent) level.

Continuity facilities – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity situation. “Continuity facilities” refers to not only other locations, but also nontraditional options such as working at home (“teleworking”), telecommuting, and mobile-office concepts.

Continuity of Government – A coordinated effort within the Federal Government’s executive branch to ensure that NEFs continue to be performed during a catastrophic emergency.

Continuity of Government Readiness Condition (COGCON) – A system for establishing, measuring, and reporting the readiness of executive branch continuity programs, which is independent of other Federal Government readiness systems.

Continuity of Operations– An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Continuity event – Any event that causes an agency to relocate its operations to an alternate or other continuity site to assure continuance of its essential functions.

Continuity personnel - Those personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations

Continuity program management cycle – An ongoing, cyclical model of planning, training, evaluating, and implementing corrective actions for continuity capabilities.

Corrective action program (CAP) – An organized method to document and track improvement actions for a program. The CAP System is a web-based tool that enables Federal, State, and local emergency response and homeland security officials to develop, prioritize, track, and analyze corrective actions following exercises or real world incidents. Users may enter data from a finalized After Action Report/Improvement Plan, track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

Delegation of authority – Identification, by position, of the authorities for making policy determinations and decisions at headquarters, field levels, and all other organizational locations. 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.

Devolution – The capability to transfer statutory authority and responsibility for essential functions from an agency’s primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.

Drive-away kit – A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual’s personal and professional needs during deployment.

Emergency operating records – Records that support the execution of an agency’s essential functions.

Emergency relocation group (ERG) – Pre-designated staff who move to an alternate facility to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.

ERG member – A person who has been assigned responsibility to report to an alternate facility, as required to perform agency essential functions or other tasks related to continuity operations.

Essential functions – The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: National Essential Functions (NEFs), Primary Mission Essential Functions (PMEFs), and Mission Essential Functions (MEFs).

Executive departments and agencies – Executive departments enumerated in 5 U.S.C. 101, along with DHS, independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the U.S. Postal Service.

Facilities – Locations where an organization’s leadership and staff operate. Leadership and staff may be co-located in one facility or dispersed across many locations and connected by communications systems. Facilities must be able to provide staff with survivable protection and must enable continued and endurable operations.

Federal Continuity Directive (FCD) – A document developed and promulgated by DHS, in coordination with the Continuity Advisory Group and in consultation with the Continuity Policy Coordination Committee, which directs executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

FEMA Operations Center (FOC) – A continuously operating entity of DHS, which is responsible for monitoring emergency operations and promulgating notification of changes to COGCON status.

Government Functions – Government functions include both the collective functions of the heads of agencies as defined by statute, regulations, presidential direction, or other legal authority, and the functions of the legislative and judicial branches.

Homeland Security Exercise and Evaluation Program (HSEEP) – A capabilities-based and performance-based program that furnishes standardized policies, doctrines, and terminologies for the design, development, performance, and evaluation of homeland security exercises. The National Exercise Program (NEP) uses the HSEEP as a common methodology for exercises. The HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

Interoperability – “Interoperability” has two meanings: (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies, and to use the services so exchanged so that these organizations can operate together effectively; (2) A condition that is realized among electronic-communications operating systems or grids and/or among individual electronic-communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

Interoperable communications – Communications that provide the capability to perform essential functions, in conjunction with other agencies, under all conditions.

Leadership – The senior decisionmakers who have been elected (e.g., the President, State governors) or designated (e.g., Cabinet Secretaries, chief executive officers) to head a branch of Government or other organization.

Memorandum of Agreement/Memorandum of Understanding (MOA/MOU) – Written agreements between departments/agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Mission Essential Functions (MEFs) – The limited set of agency-level Government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Multiyear strategy and program management plan – A process that ensures the maintenance and continued viability of continuity plans.

National Communications System (NCS) – A system governed by Executive Order 12472 and comprised of the telecommunications assets of 24 Departments and Agencies. DHS serves as the Executive Agent for the NCS, which is responsible for assisting the President, the National Security Council, the Director of OSTP, 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.

National Continuity Policy – It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations

and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.

National Essential Functions (NEFs) – The eight functions the President and the Nation’s leadership will focus on to lead and sustain the Nation during a catastrophic emergency; NEFs, therefore, must be supported by COOP and COG capabilities.

National Exercise Program – The NEP is the Nation’s overarching exercise program formulated by the National Security Council / Homeland Security Council, and executed by the Federal Interagency. All interagency partners have adopted HSEEP as the methodology for all exercises that will be conducted as part of the National Exercise Program.

National Terrorism Advisory System (NTAS) –NTAS communicates information about terrorist threats by providing timely, detailed information to the public, government agencies, first responders, airports and other transportation hubs, and the private sector.

Normal Operations – Generally and collectively, “normal operations” refer to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include day to day tasks, planning and execution of tasks.

Orders of succession – Provisions for the assumption by individuals of senior agency office leadership positions during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Plan – A proposed or intended method of getting from one set of circumstances to another. A plan is often used to move from the present situation towards the achievement of one or more objectives or goals.

Primary Mission Essential Functions (PMEFs) – Those department and agency Mission Essential Functions, validated by the NCC, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Primary operating facility – The site of an organization’s normal, day-to-day operations; the location where the employee usually goes to work.

Program – A group of related initiatives managed in a coordinated way, so as to obtain a level of control and benefits that would not be possible from the individual management of the initiatives. Programs may include elements of related work outside the scope of the discrete initiatives in the program.

Readiness Reporting System (RRS) – Department of Homeland Security program to collect and manage continuity capability data and assessments of executive branch departments and agencies, and monitor their status to perform their Priority Mission Essential Functions (PMEFs) in support of the National Essential Functions (NEFs). The RRS will be used to conduct assessments and track capabilities at all times, under all conditions, to include natural disasters, manmade incidents, terrorism, and war.

Reconstitution – The process by which surviving and/or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

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

Rights and interests records – Records that are necessary to protect the legal and financial rights of both the Federal Government and the persons who are affected by its actions.

Risk analysis – The process by which risks are identified and evaluated.

Risk assessment – The identification and assessment of hazards.

Risk management – The process of identifying, controlling, and minimizing the impact of events whose consequences are or may be unknown, or events that are themselves fraught with uncertainty.

Telework – The ability to work at a location other than the official duty station to perform work or emergency duties. This may include, but is not limited to, using portable computers, personal computers, high-speed telecommunications links, and mobile communications devices.

Testing, training, and exercises (TT&E) – Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity situation.

Virtual offices – An environment where employees are not collocated and rely exclusively on information technologies to interact and conduct their work across distance from multiple geographic locations.

Vital records – Electronic and hardcopy documents, references, and records that are needed to support essential functions during a continuity situation. The two basic categories of vital records are (1) emergency operating records and (2) rights and interests records.

Vulnerability analysis – A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.