

The Pretrial Services Agency for the District of Columbia Continuity of Operations Plan



2018

This document provides planning and program guidance for implementing the PSA Continuity of Operations Plan (COOP) and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

PSA's COOP

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COOP
Message

PSA Team,

Consistent with our role as a law enforcement agency, we continue to promote pretrial justice and enhance community safety during periods of emergency or prolonged catastrophic situations involving natural disasters, terrorist activities or weather-related events.

The Continuity of Operations Plan (COOP) identifies key roles and responsibilities necessary for PSA to perform its primary essential functions during emergent situations extending beyond 72 hours. These primary essential functions include, providing release and detention recommendations, and defendant supervision and monitoring. Upon COOP activation, the Agency must perform its primary essential functions within a 12 hour window. Additionally, PSA must be able to conduct support operations which include human resources, IT, facilities, and financial management.

Please consult with your immediate supervisor to determine whether you are designated as emergency, mission-critical or non-emergency employee. For employees within the Office of Operations, the Emergency Operations Plan (EOP)¹ identifies notification systems and activating emergency teams. In the event of a COOP activation, the Agency COOP Manager will coordinate and assist the Critical Function Team (CFT), which includes PSA Director, Deputy Director, Associate Director (Operations), Deputy Associate Director (Operations), Office Directors, and Operations Program Managers will execute the notification process to instruct employees on reporting procedures. This notification process may occur via phone, text, email and through PSA.Gov. The CFT will continue to provide leadership and operational continuity until the Agency resumes normal operations.

In addition, all employees have the responsibility to call PSA's emergency telephone numbers (202-220-5766 or 202-220-5759) and/or log on to <http://www.psa.gov/status> to learn the operating status of PSA. Since emergency situations remain fluid, staff must continuously monitor the website or call the PSA emergency telephone numbers for updates. If the PSA emergency telephone numbers and/or internet site are not functioning, program managers and supervisors will be responsible for contacting each of their direct reports.

Thank you for what you do each day in helping me carry out PSA's mission, and remember; early preparation is the key to success!

Leslie C. Cooper
Director

¹ EOP 4109, January 12, 2017

Basic Plan

Record of Changes

When changes are made to the COOP outside the official cycle of plan review, coordination, and update, planners should track and record the changes using a record of changes table. The record of changes will contain:

- A change number,
 - The date of the change,
 - The name of the person who made the change, and
 - A description of the change.
-

Record of Distribution

The record of distribution, usually in table format, indicates:

- The title and the name of the person receiving the plan,
- The agency to which the receiver belongs,
- The date of delivery,
- The method of delivery, and
- The number of copies delivered.

The record of distribution is used to verify that tasked individuals and organizations have acknowledged their receipt, review, and/or acceptance of the plan.

Purpose, Interdependencies, Scope, Assumptions, and Objectives

Purpose

According to Presidential Policy Directive 40 (PPD-40), *National Continuity Policy*, directs the Secretary of Homeland Security through the Administrator of the Federal Emergency Management Agency (FEMA) to coordinate the implementation, execution, and assessment of continuity activities among executive departments and agencies (D/As). 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.

The overall purpose of continuity of operations planning is to ensure the continuity of the National Essential Functions (NEFs) under all conditions. The current 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 terrorist 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.

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Purpose, Interdependencies, Scope, Assumptions, and Objectives, Continued

Purpose (continued)

Even though PSA does not directly support NEFs, its mission is still critical because of the constitutional rights of those citizens it serves and the general public's right to safety. Therefore it is important that all PSA staff become familiar with this plan, and those that are designated as members of the CFT or designated as essential employees know their roles and responsibilities. This is critical in the successful implementation and execution of this plan.

Purpose, Interdependencies, Scope, Assumptions, and Objectives, Continued

Essential Functions

All agencies must identify and prioritize their essential functions as the foundation for continuity planning. Essential functions, broadly speaking, are those functions that enable an organization to provide:

- Vital services,
- Exercise civil authority,
- Maintain the safety of the general public, and
- Sustain the industrial/economic base during an emergency.

PSA has identified two essential functions—release and detention recommendations and defendant supervision and monitoring—that the agency must continue to perform under all conditions. PSA’s ability to perform these essential functions involves communication and interaction with its criminal justice partners.

Essential Function 1: Release and Detention Recommendation

During an emergency event, the United States Attorney’s Office for the District of Columbia (USAO) and the Office of the Attorney General for the District of Columbia (OAG) will determine which type of arrests (criminal/non-criminal charge) will be papered. Depending upon the extent of the emergency, these papering decisions may be different from ordinary circumstances. PSA will provide judicial officers in both the United States District Court for the District of Columbia (USDC) and the Superior Court of the District of Columbia (DCSC) with appropriate release recommendations based on the defendant’s assessed risk level. These recommendations may vary depending upon the nature and severity of the emergency event.

Essential Function 2: Defendant Supervision and Monitoring

USDC and DCSC, in conjunction with PSA, will decide which previously set release conditions PSA will supervise/monitor during a COOP event. The entities will also coordinate to ensure that PSA knows where to send non-compliance reports during the emergency event.

Purpose, Interdependencies, Scope, Assumptions, and Objectives, Continued

Partner organizations and interdependencies

PSA must collaborate and communicate with its partner organizations during a COOP event. Continuation of essential functions requires complex multi-jurisdictional and interagency coordination. A list of some of PSA's partners is provided below:

City Government Partners

Metropolitan Police Department
District of Columbia Department of Corrections
Criminal Justice Act Attorneys
Office of the Attorney General for the District of Columbia
Addiction Prevention and Recovery Administration
Department of Mental Health Services
Criminal Justice Coordinating Council
Department of Youth and Rehabilitation Services

Federal Partners

Court Services and Offender Supervision Agency
U.S. Marshals Service
U.S. Attorney's Office for the District of Columbia
U.S. District Court for the District of Columbia
U.S. Parole Commission
Federal Public Defender Service
Federal Bureau of Prisons

Other Federally Funded District Partners

District of Columbia Superior Court
Public Defender Service for the District of Columbia

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Purpose, Interdependencies, Scope, Assumptions, and Objectives, Continued

Scope

This plan outlines the functions, operations, and resources necessary to ensure the continuation of PSA's essential functions in the event that normal operations at its central locations² are disrupted or threatened with disruption.

This plan applies to all PSA personnel. PSA staff must be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

This document describes how PSA will conduct essential functions under all threats and conditions, with or without warning. Temporary operating facilities are defined as either operating temporarily from another PSA facility or working remotely from another location (telework). PSA may relocate essential employees to one of its other operating locations in the event that normal operations at one or more of its central locations are disrupted or threatened.

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² These include: 633 Indiana Avenue, NW; 601 Indiana Avenue, NW; and office space at 500 Indiana Avenue, NW (the D.C. Superior Court); 90 K Street, NE; NW; 333 Constitution Avenue, NW (U.S. District Court); and 1025 F Street, NW.

Purpose, Interdependencies, Scope, Assumptions, and Objectives, Continued

Planning Assumptions

This COOP is based on the following assumptions:

- In consultation with the CSOSA Director, the PSA Director, Deputy Director, or designees have the authority to implement the Agency's COOP under conditions of emergency that affect only PSA.
- The Director, Deputy Director, or designees will consult with the Chief Judge of the U.S. District Court for the District of Columbia (USDC) and the Chief Judge of the D.C. Superior Court (DCSC), as appropriate, before activating the COOP for emergencies that affect either or both of the two courts.
- When a COOP event is declared, implementing the COOP will ensure the continuity of minimal essential agency operations, and allow the gradual build-up to the performance of essential functions during the crisis. At a base minimum level of operations, any temporary operating facility will enable agency leadership to maintain voice communications with PSA partners, and to handle emergency or urgent requests made to the agency.
- Pre-established essential functions may have to be altered once the actual extent of the threat has been identified.
- Appropriate resources and funding will be available to support essential operations during the event.
- All PSA employees (other than those on pre-scheduled leave) are available for work.
- The agency's computer systems are backed up regularly and access to critical systems and vital records is available to the CFT and essential employees.
- The USDC and DCSC will provide at least limited space for the PSA essential personnel that support their operations should they decide to relocate the courts to another location temporarily.

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Purpose, Interdependencies, Scope, Assumptions, and Objectives, Continued

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 January 17, 2017.

The PSA continuity objectives are listed below:

- (1) Ensure that PSA can perform its essential functions (EFs) under all conditions.
- (2) Reduce the loss of life and minimize property damage and loss.
- (3) Execute a successful order of succession with accompanying authorities in the event a disruption renders PSA's 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 PSA has facilities where it can continue to perform its EFs during a continuity event.
- (6) Protect essential facilities, equipment, records, and other assets, in the event of a disruption.
- (7) Achieve PSA'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.

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Purpose, Interdependencies, Scope, Assumptions, and Objectives, Continued

Security and Privacy Statement

This document is **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). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with PSA security policies and is not to be released to the public or other personnel who do not have a valid “need to know” without prior approval of the PSA Director. PSA will distribute copies of the COOP on a need-to-know basis. 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 hard-copy or electronic form, is not allowed without approval from the PSA Director. PSA will distribute updated versions of the COOP as critical changes occur.

Concept of Operations

Implementation This section explains how PSA will implement its COOP, and specifically, how it plans to address each critical COOP element. This section has been separated into four phases: readiness and preparedness; activation and relocation; continuity of operations; and reconstitution. Devolution planning strongly correlates in each phase, and is also addressed in this section.

Readiness and Preparedness

Readiness and preparedness is the ability of an organization to respond to an emergency event. PSA participates in the full spectrum of readiness and preparedness activities to ensure its personnel can continue essential functions under all emergency conditions. PSA readiness activities are divided into two key areas:

- Organization readiness and preparedness
- Staff readiness and preparedness

PSA preparedness incorporates several key components. Two major components of readiness are the Continuity of Government Conditions (COGCON) for organizations in the National Capital Region, and the DHS Homeland Security Advisory System (HSAS). PSA also uses other warning systems, which include the Federal Government emergency operating status as determined by the Office of Personnel Management (OPM).

COGCON Procedures

PSA has established internal plans and procedures for executing changes to the COGCON level, if applicable. PSA has identified the following activities to undertake at each COGCON level:

COGCON Level	Step/Action	Frequency
Level 4	<ul style="list-style-type: none"> • Continue to perform business functions at normal locations • Ensure the CFT and essential employees have the resources necessary to access the PSA data network remotely if necessary • Conduct training and exercise activities in accordance with PSA COOP to ensure personnel readiness 	Determined by PSA Director or designated representative

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Readiness and Preparedness, Continued

**COGCON
Procedures**
(continued)

COGCON Level	Step/Action	Frequency
Level 3	<ul style="list-style-type: none"> • Continue to perform business functions at normal locations • Ensure the CFT and essential employees have the resources necessary to access the PSA data network remotely if necessary • Conduct training and exercise activities in accordance with PSA COOP to ensure personnel readiness 	Determined by PSA Director or designated representative
Level 2	<ul style="list-style-type: none"> • Continue to perform business functions at normal locations • Monitor and track all essential functions • Ensure the CFT and essential employees have the resources necessary to access the PSA data network remotely within 12 hours • Conduct additional training and exercise activities in accordance with PSA COOP to ensure personnel readiness 	Determined by PSA Director or designated representative

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Readiness and Preparedness, Continued

COGCON Procedures (continued)

COGCON Level	Step/Action	Frequency
Level 1	<ul style="list-style-type: none"> • Continue to perform business functions at normal location • If necessary discontinue normal business functions and transfer operations to temporary operating facility • Monitor and track all essential functions • Notify employees of PSA operating status and provide instruction to employees 	Determined by PSA Director or designated representative

HSAS Procedures

Further, PSA has identified the following activities to undertake at each HSAS level:

HSPD-3 Threat Condition Level	HSPD-3 Threat Condition Criteria	PSA Specific Response
Green (Low)	There is a low risk of terrorist attacks.	The COOP is not activated.
Blue (Guarded)	There is a general risk of terrorist attacks.	The COOP is not activated.
Yellow (Elevated)	There is a significant risk of terrorist attacks.	Continue to perform headquarters business functions at normal locations; take appropriate steps to ensure the COOP can be activated as soon as possible but no later than 12 hours.

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Readiness and Preparedness, Continued

Orange (High)	There is a high risk of terrorist attacks.	Continue to perform headquarters business functions at normal locations; track all essential functions; take appropriate steps to ensure the COOP can be activated as soon as possible but no later than 12 hours; review Emergency Operating procedures and COOP activation procedures.
Red (Severe)	There is a severe risk of terrorist attacks.	Continue to perform headquarters business functions at normal locations; if necessary discontinue normal business functions; activate the COOP; transfer operations to temporary operating facilities track all essential functions.

Other Warning and Threat System Procedures

The Office of Personnel Management (OPM) maintains the daily operating status of the Federal government, including specifics for employees in the Washington, DC, metropolitan area. This system is generally used for incidents of inclement weather, but could also be utilized to determine the operating status during other emergencies that affect the Federal government and PSA. Call (202) 606-1900 or visit www.opm.gov/status to obtain operating status in the Washington, DC, area.

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Readiness and Preparedness, Continued

Staff Readiness and Preparedness

PSA personnel must also prepare for a continuity event. PSA personnel should plan in advance what to do in an emergency and should develop a family support plan to increase personal and family preparedness. To develop a family support plan, 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 personnel and their families can use to develop their specific plan.

The Agency strongly suggests that PSA CFT members and emergency/mission critical emergency employees create and maintain *Go-kits*. PSA has suggested what these kits might contain:

- Identification and charge cards
- Government identification card
- Driver’s license
- Government travel card
- Health insurance card
- Personal charge card
- Agency issued communication equipment (e.g., laptop and broadband card)
- Cellphones
- Government cell phone
- Personal cell phone
- Government Emergency Telephone Service (GETS) card
- Hand-carried vital records
- Directions to continuity facility
- Business and leisure clothing
- COOP
- Hard copies of business and personal contact numbers
- Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)
- Toiletries
- Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)
- Medical needs
- List of allergies/blood type
- Hearing aids and extra batteries
- Glasses and contact lenses
- Extra pair of eyeglasses/contact lenses
- Prescription drugs (30-day supply)
- Over-the-counter medications, dietary supplements

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Readiness and Preparedness, Continued

Staff Readiness and Preparedness (continued)

- Other items as needed

PSA will conduct the following continuity readiness and preparedness activities to support the overall readiness and preparedness of its staff:

- COOP training
 - Brown bag or working lunch informational sessions
 - Table top exercises for CFT members
-

Contingency Plan for The PSA Enterprise, Pretrial Real-Time Information System Manager and Drug Test Management System

The Contingency Plan for the PSA Enterprise (PSAe), Pretrial Real-Time Information System Manager (PRISM), and Drug Test Management System (DTMS) identify recovery goals, procedures, actions, and points of contact (POCs) for service restoration following a major outage of these systems.

This plan establishes procedures to recover these systems' operations following a disruption. The objectives of this plan are to:

- Maximize the effectiveness of contingency operations through an established plan that consists of the following phases:
 - **Notification/Activation** phase to detect and assess damage and to activate the plan
 - **Recovery** phase to restore temporary IT operations and recover damage done to the original systems
 - **Reconstitution** phase to restore IT system processing capabilities to normal operations.
 - Identify the activities, resources, and procedures needed to carry out processing requirements during prolonged interruptions to normal operations.
 - Assign responsibilities to designated personnel and provide guidance for recovering during prolonged periods of interruption to normal operations.
 - Ensure coordination with other staff who will participate in the contingency planning strategies.
 - Ensure coordination with external points of contact and vendors who will participate in the contingency planning strategies.
-

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Readiness and Preparedness, Continued

**PSA Enterprise
Pretrial Real-
Time
Information
System
Manager and
Drug Test
Management
System
(continued)**

This plan is included as part of the PSAe, PRISM, and DTMS systems Security Assessment & Accreditation (SA&A) packages. It covers the functions, operations, and resources necessary to restore and resume PSA IT services as installed at 601 Indiana Avenue, N.W., Washington D.C, 20004 (the “primary” site).

This plan would be activated when the primary site or the systems themselves are inaccessible and are therefore unable to perform processing.

There is an alternate operating site and a contract with it that designates the disaster recovery location.

- The alternate site building and IT resources it contains will be used to recover functionality during an emergency situation that prevents access to the primary site.
 - Computer systems and local networking infrastructure at the alternate site have been configured to begin processing information.
 - The alternate site will be used to continue recovery and processing throughout the period of disruption, until the return to normal operations.
 - The systems are inoperable at the primary site and cannot be recovered within at least 72 hours (and hardware and software at the original site are unavailable for and will not be available for the same minimum duration).
-

Activation and Relocation

Overview

This section explains COOP activation procedures and execution should PSA’s normal operations at its central locations become disrupted. This section also addresses procedures and guidance for both essential and non-essential personnel. PSA has developed detailed activation and relocation plans, which are captured in the following sections.

Decision Support Matrix

Based on the type and severity of the emergency situation, PSA’s COOP may be activated by one of the following methods:

- (1) The President may initiate Federal Executive Branch COOP activation; or
- (2) In consultation with the CSOSA Director, the PSA Director, or a designated successor, may activate the COOP for the entire organization, based on an emergency or threat directed at the organization.

COOP activation and relocation are scenario-driven processes that allow flexible and scalable responses to the full spectrum of emergencies and other events that could disrupt operations with or without warning during duty and non-duty hours.

COOP activation is not required for all emergencies and disruptive situations, since other actions may be deemed appropriate (such as activation of emergency operating procedures). The decision to activate the PSA COOP and corresponding actions to be taken are tailored for the situation, based upon projected or actual impact and severity, as well as the expected length of time of the disruption. Decision-makers may use the matrix below to assist in the decision to activate the COOP.

If ...	Then ...
HSAS Procedures	Further, PSA has identified the following activities to undertake at each HSAS level:
The President directs Federal Executive Branch Agencies to activate their COOP	Activate the PSA COOP

Activation and Relocation, Continued

Decision Support Matrix
(continued)

If ...	Then ...
The event requires evacuation of PSA central locations	Activate the PSA COOP
The expected duration of the event is longer than 72 hours	Activate the PSA COOP and the Disaster Recovery Plan and Site
The expected duration of the event is less than 72 hours	Activate PS 1301 EOP

If...	And...	Then...
The event affects the operating status of the courts	The effect is longer than 72 hours	Activate PSA COOP
The event affects the operating status of the courts	The effect is less than 72 hours	Activate EOP

The PSA Director or designated representative will remain informed of the threat environment using all available means, including official government intelligence reports, national/local reporting channels, and news media. The PSA Director or designated representative will evaluate all available information relating to:

- Direction and guidance from higher authorities
- The health and safety of personnel
- The ability to execute essential functions
- Changes in readiness or advisory levels
- Intelligence reports
- The potential or actual effects on communication systems, information systems, office facilities, and other vital equipment
- The expected duration of the emergency situation
- Whether the emergency is localized (Downtown D.C. area) or widespread (National Capital Region)

Continued on next page

Activation and Relocation, Continued

Alert and Notification Procedures

PSA maintains plans and procedures for communicating and coordinating activities with personnel before, during, and after a continuity event. Prior to a forecasted event, personnel in PSA must monitor advisory information, including DHS HSAS, the Federal Government Response Stages for Pandemic Influenza, intelligence, and OPM Federal Daily Operating Status. In the event that normal operations are interrupted or if an incident appears imminent, PSA will take the following steps to communicate the organization's operating status to all staff:

- (1) The PSA Director or designated representative will contact the CFT via e-mail, office phone, and cell phone with the message that the Agency COOP has been activated. Also, the PSA Director or designated representative will relay to the CFT other emergency instructions, including directions to report to one of the other central locations or work from another location (telework) until further notice.
- (2) The CFT will notify their essential and non-essential personnel and inform them of COOP activation and provide them with additional instructions, as appropriate (report to another location or telework).

Upon the decision to activate the COOP, PSA will provide all 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. These entities include:

- FEMA Operations Center (FOC) via the RRS or telephone (540.665.6100 or 800.634.7084) and other applicable operations centers with information regarding COOP activation and relocation status, the PSA alternate facility, operational and communication status, and anticipated duration of relocation
- Court Services and Offender Supervision Agency (CSOSA)
- Other partners (e.g., U.S District Court, Metropolitan Police Department, D.C. Superior Court)

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Activation and Relocation, Continued

Relocation Process

Upon activation of the plan and notification of personnel to report to one of the other central locations or work from another location (telework), PSA CFT personnel will perform essential functions and other continuity tasks.

Emergency procedures during duty hours are as follows:

- CFT personnel will follow the instructions given to them by the individual who activated the COOP.
- Individuals who are not CFT personnel that are present at one of the central locations at the time of an emergency notification will receive instructions from their supervisors. In most scenarios, staff members will be directed to proceed to their homes or to other facilities to wait for further guidance. Non-CFT personnel may be asked to telework from their home or another location in support of the agency essential functions.
- At the time of notification, information will be provided on routes to use during departure from the central locations, if available, or other appropriate safety precautions.

Emergency procedures during non-duty hours are as follows:

- CFT personnel will follow the instructions given to them by the individual who activated the COOP.
- Individuals who are not CFT personnel will remain at his or her residence to wait for further instructions. Non-CFT personnel may be asked to telework from their home or another location in support of the agency essential functions.

Personnel not identified as CFT staff may be required to replace or augment the identified CFT personnel during activation. These activities will be coordinated by their office director on a case-by-case basis. Individuals who are not identified as CFT personnel will remain available to replace or augment CFT members, as required.

The PSA Director or designated representative will direct PSA personnel who are not designated as CFT personnel to move to another facility or to go home until further notice.

In the event of an activation of the COOP, PSA may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The PSA Director maintains the authority for emergency procurement.

Continuity of Operations

Upon activation of the COOP, PSA will continue to operate at its primary operating facility (headquarters) until ordered to cease operations by the PSA Director or designated representative. At that time, essential functions will be performed from a temporary operating facility or performed via telework.

The COOP must be operational as soon as possible but no later than 12 hours of plan activation.

When instructed by the PSA Director, Deputy Director, or designated representative of COOP activation, CFT personnel will either report to the temporary operating facility or work from another location (telework).

PSA CFT personnel will:

- Report immediately to the Director or designate either in person or virtually
 - Receive all applicable instructions
 - Report to their respective workspace (if applicable)
 - Retrieve pre-positioned information and activate specialized systems or equipment (if necessary)
 - Contact their essential employees and non-essential employees, account for them, and provide them with further instructions
 - Monitor the status of PSA personnel and resources
 - Continue PSA essential functions
 - Prepare and disseminate instructions and reports, as required
 - Comply with any additional continuity reporting requirements with CSOSA or the FEMA Operations Center
-

Reconstitution of Operations

Reconstitution procedures will commence when the PSA Director or designated representative ascertains that the emergency situation has ended and is unlikely to reoccur.

Reconstitution plans must be viable regardless of the level of disruption that originally prompted implementation of the COOP. Once the appropriate PSA 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 to operate from the temporary facility or from another location
- Reconstitute the PSA primary operating facility (headquarters) and begin an orderly return to the facility
- Begin to establish a reconstituted PSA in some other facility in the metro area or at another designated location

Prior to relocating to the PSA headquarters or another facility, the Director of the Office of Finance and Administration (OF&A) or their designee will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the Associate Director of Operations will verify that all systems, communications, and other required capabilities are available and operational and that PSA is fully capable of accomplishing all essential functions and operations at the new or restored facility.

Continued on next page

Reconstitution of Operations, Continued

Upon a decision by the PSA Director or designated representative that the PSA headquarters can be reoccupied or that PSA will re-establish itself in a different facility:

- The PSA Deputy Director or other authorized individual must notify the FEMA Operations Center (FOC) via the RRS or telephone (540.665.6100 or 800.634.7084) and other applicable operations centers with information regarding continuity activation and relocation status, the PSA alternate location, operational and communication status, and anticipated duration of relocation. PSA shall submit a Continuity Status Reporting Form, only if it contains information beyond what has been reported to FEMA via email or this information will change. Will provide update from FEMA.
- The OF&A Director, will develop space allocation and facility requirements.
- The Associate Director of Operations will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process.
- The OF&A Director will coordinate with GSA and/or other applicable facility management group to obtain office space for reconstitution, if PSA headquarters is uninhabitable.

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Reconstitution of Operations, Continued

Upon verification that the required capabilities are available and operational and that PSA is fully capable of accomplishing all essential functions and operations at the new or restored facility, the Associate Director of Operations, 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 phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined below; PSA will begin development of specialized return plans based on the incident and facility within 72 hours of plan activation:

- All elements that support the PSA essential functions
- All elements that support day to day operations of the Agency
- All the rest of the elements not identified above

PSA will continue to operate at its temporary facility or from another location until ordered to cease operations by the PSA Director or designated representative. At that time, essential functions will transfer back to headquarters. PSA has developed plans to instruct personnel on how to resume normal operations as outlined below. PSA will begin development of specialized resumption plans based on the incident and facility within 72 hours of plan activation:

- Office Directors and Program Managers will notify their staffs on when/where to report back to work.

The Director, Office of Information Technology (OIT), will identify any records/systems affected by the incident. In addition, the OIT Director will transition or recover vital records/systems and databases, as well as other records that had not been designated as vital records. PSA will begin development of specialized vital records transition and recovery plans based on the incident and facility within 72 hours of plan activation.

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining PSA staff will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The Associate Director of Operations shall oversee the orderly transition from the temporary facility of all PSA functions, personnel, equipment, and records to a new or restored primary operating facility.

Continued on next page

Reconstitution of Operations, Continued

PSA will conduct an after action review once it is back in headquarters or established in a new primary operating facility. The Director of the Office of Planning, Policy and Analysis (OPPA) has the responsibility for initiating and completing the after action review. All offices within PSA will have the opportunity to provide input into the review.

Devolution of Control and Direction

Devolution planning supports overall continuity planning and addresses the full spectrum of threats and all-hazards emergency events that may render PSA's leadership or staff unavailable to support, or incapable of supporting, the execution of PSA's essential functions from either its headquarters or a temporary facility. The threats or all-hazard events that would require devolution planning are normally those that are the most extreme. In this case they would probably affect the entire National Capital Region for some time.

PSA's mission is to promote pretrial justice and enhance community safety. Therefore it is important for PSA to coordinate its devolution activities with both the Superior Court for the District of Columbia and the United States District Court for the District of Columbia.

PSA must be prepared to transfer all essential functions and responsibilities to personnel at a different location should emergency events render leadership or staff unavailable to support the execution of PSA essential functions. If deployment of CFT personnel is not feasible due to their unavailability, temporary leadership of PSA will devolve to the location where the two courts above establish their operations. The surviving elements of PSA's leadership that support the two Courts will be responsible for re-establishing essential functions at those locations.

Assignment of Responsibilities

Key staff positions within PSA, to include individual CFT members are outlined below.

Position	Responsibilities
Director	<ul style="list-style-type: none"> • Provides strategic leadership and overarching policy direction for the continuity program • Implements the COOP when necessary, or when directed by higher authority • Updates and promulgate orders of succession and delegations of authority • Ensures adequate funding is available for emergency operations • Ensures all organization components participate in continuity exercises
Deputy Director	<ul style="list-style-type: none"> • Performs duties of the Director in his/her absence • Serves as the agency Continuity Coordinator • Supervises the performance of essential functions • Updates COOP annually • Maintains the Critical Action Plan
Associate Director, Operations	<ul style="list-style-type: none"> • Participates on the CFT team • Oversees reconstitution operations • Tracks the performance of essential functions in emergency situations • Updates telephone rosters quarterly • Conducts alert and notification tests
Deputy Associate Director, Operations	<ul style="list-style-type: none"> • Participates on the CFT team • Oversees reconstitution operations • Tracks the performance of essential functions in emergency situations • Updates telephone rosters quarterly • Conducts alert and notification tests
Director, Office of Finance and Administration	<ul style="list-style-type: none"> • Participates on the CFT team • Develops organization-specific guidance and direction for continuity personnel on finance and administrative issues • Reviews status of contracts vital to the support

	<p>of Agency essential functions</p> <ul style="list-style-type: none"> • Updates telephone rosters quarterly
OPPA COOP Manager	<ul style="list-style-type: none"> • Provides managerial oversight of the COOP • Provides updates to COOP as needed • Executes FEMA reporting requirements • Plans and conducts COOP Table Top Exercises • Attends COOP conferences/seminars/training events • Supports CFT Members during a COOP activation • Serves as liaison to the Agency's COOP Continuity Coordinator Senior Executive

Continued on next page

Assignment of Responsibilities, Continued

(continued)

Position	Responsibilities
Director, Office of Planning, Policy and Analysis	<ul style="list-style-type: none"> • Participate on the CFT team • Update telephone rosters quarterly • Initiating and completing the after action review
Director, Office of Human Capital	<ul style="list-style-type: none"> • Participate on the CFT team • Develop organization-specific guidance and direction for continuity personnel on human capital issues • Track the accountability of PSA personnel in emergency situations • Develop and lead continuity of operations training • Plan continuity of operations exercises • Update telephone rosters quarterly
Director, Office of Information Technology	<ul style="list-style-type: none"> • Participate on the CFT Team • Review status of information technology systems, records, and databases that support essential functions • Assist with reconstitution operations • Maintain back-up information technology facility ensuring vital information technology systems, records and databases are available in emergency situations • Update telephone rosters quarterly

Continued on next page

Assignment of Responsibilities, Continued

(continued)

Position	Responsibilities
Emergency and Mission Critical Emergency Employees	<ul style="list-style-type: none"> • Be prepared to deploy and support organization essential functions in the event of a COOP implementation • Provide current contact information to their manager • Be familiar with continuity planning and know individual roles and responsibilities in the event of COOP activation • Participate in continuity training and exercises as directed • Have a telework agreement, if applicable
Non-emergency employees	<ul style="list-style-type: none"> • Provide current contact information to their manager • Monitor the operating status of the agency through telephone, web site, and contact with their managers • Be familiar with continuity planning and know individual roles and responsibilities in the event of COOP activation • Participate in continuity training and exercises as directed • Have a telework agreement, if applicable

**Direction,
Control, and
Coordination**

During an activation of the COOP, the PSA Director maintains responsibility for direction and control of PSA. Should the PSA Director become unavailable or incapacitated; the organization will follow the directions laid out in *Orders of Succession and Delegations of Authority*.

Continued on next page

Assignment of Responsibilities, Continued

Disaster Intelligence

During a continuity event, PSA will require the collection and dissemination of critical information. While specific incidents may cause additional or specialized reporting requirements, the table below lists examples of the information that PSA must collect and report regardless of incident type during a continuity event.

Information Element	Specific Requirements	Responsible elements	Deliverables	When Needed	Distribution
Personnel Accountability	Account for all CFT & non CFT employees Account for all contract personnel	HCM Director	Report Briefing	Status update hourly following plan activation until everyone accounted for	PSA Director or designated rep
Operational Status	% of CFT and non CFT personnel available for duty Ability to conduct each essential function Status of communications & IT systems	Deputy Director Office Directors & Program Managers	Situation briefings Situation reports	NLT than 6 hours after plan activation, then every 12 hours	PSA Director or designated rep
Hazard Information	Threat details specific to the headquarters or alternate facility	OF&A Director	Situation briefings	Every 12 hours	PSA Director or designated rep

Communications

The ability of an organization to execute its essential functions depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal organization elements, other organizations, critical customers, and the public, during crisis and disaster conditions.

PSA has identified available and redundant critical communication systems that are located at its headquarters. Further, PSA maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telecommuting and other virtual offices.

All PSA necessary and required communications and IT capabilities must be operational as soon as possible but no later than 12 hours of the continuity activation.

Additional detailed information on PSA communications systems and requirements can be found in, *Continuity Communications*.

Budget and Acquisitions

The budgeting and acquisition section identifies the people, communications, facilities, infrastructure, and transportation requirements that are necessary to the successful implementation and management of PSA's continuity program. This section aligns with the Administration, Finance, and Logistics section of the Comprehensive Preparedness Guide 101.

PSA budgets for and acquires those capabilities that are essential to continuity. Within this budget, PSA budgets for continuity capabilities in accordance with Presidential Policy Directive 40 (PPD-40), National Continuity Policy and National Communications System Directive 3-10 or other applicable directives and provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.

As part of the budget process, PSA uses a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources. PSA 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. For those contracts vital to the support of agency essential functions, PSA has ensured contractor statements of work include the provision to provide staffing, services, and necessary resources during emergency conditions. A list of vital contracts is maintained by the OF&A Director. During an emergency situation, OF&A is responsible for oversight and handling of emergency work by contractors.

Plan Development and Maintenance

The Deputy Director is responsible for maintaining the PSA COOP. The COOP, PSA essential functions, and supporting activities will be reviewed by the Deputy Director and updated annually from the date of publication as part of the annual maintenance of continuity plans and procedures. In addition, the plan will be updated 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 Deputy Director at any time.

Functional Annexes

Essential Functions

All agencies must identify and prioritize their essential functions, which serve as the foundation for continuity planning. The essential functions section must include a list of the organization’s prioritized essential functions (EFs). The COOP must identify the components, processes, and requirements that ensure the continued performance of the agency’s EFs.

PSA has completed the EF process as identified in Federal Continuity Directive (FCD) 2 to identify those functions that PSA must continue in the event of an emergency.

PSA EFs, as validated and approved by the PSA Director, are as follows:

- Essential Function 1: Release and Detention Recommendations**
- Essential Function 2: Defendant Supervision and Monitoring**

The function/critical business processes on the next page were evaluated by each PSA office and compiled into the table below. The table lists the functions /critical business processes and which essential function each one supports. The last column “Priority Under COOP Activation” helps leadership prioritize the restoration of essential functions by determining which function/critical business process needs to be restored first.

Continued on next page

Functional Annexes, Continued

Critical Business Process	Responsible Party	Support to Essential Function	Priority Under COOP Activation
Agency Management	Director	Function 1 & 2	1 Day
Accounting, Budget Formulation, & Execution	Finance & Administration	Function 1 & 2	7 Days
Facility Management	Finance & Administration	Function 1 & 2	1 Day
Procurement	Finance & Administration	Function 1 & 2	1 Day
Time and attendance, personnel processing (including emergency hires), train new employees, ensure computer IDs, ongoing training, agency performance consultant, develop curriculum, conduct preliminary background checks	Human Capital	Function 1 & 2	30 Days
Systems support	IT	Function 1 & 2	1 Day
Customer service	IT	Function 1 & 2	1 Day
Oversee daily operations, advise agency Director & Deputy Director, ensure offices operations are accomplished	Operations	Function 1 & 2	1 Day
Performance measurement, performance-based budgeting, performance reporting	Planning, Policy and Analysis	Function 1 & 2	30 Days
GSU, USDC, T/DCMI and HISP reporting in person	Supervision	Function 1 & 2	30 Days

Continued on next page

Functional Annexes, Continued

(continued)

Critical Business Process	Responsible Party	Support to Essential Function	Priority Under COOP Activation
Defendant reporting by telephone	Supervision	Function 1 & 2	30 Days
Report preparation and compliance monitoring	Supervision & Treatment	Function 1 & 2	30 Days
Electronic monitoring	Supervision	Function 2	7 Days
Drug testing	Drug Testing Compliance and Quality Management	Function 1 & 2	30 Days
Court representation	Supervision	Function 1 & 2	30 Days
Drug Court, SBTT, and SSU	Treatment	Function 1 & 2	30 Days
Social Services and Assessment Center	Treatment	Function 1 & 2	7 Days
Entering defendants into PSA system (interviewing defendants, labeling folders, verification of information, database case entry)	Court Services	Function 1	1 Day
Printing MPD Lockup List	Court Services	Function 1	1 Day
Communications with US Attorney's Office, US Marshal cellblock, and MPD	Court Services	Function 1	1 Day
Urine surveillance drug testing	Forensics	Function 1 & 2	7 Days
Forensic toxicology and consultation	Forensics	Function 1 & 2	7 Days
Expert testimony	Forensics	Function 1 & 2	30 Days
Procure reagents, supplies and instruments	Forensics	Function 1 & 2	30 Days

Continued on next page

Functional Annexes, Continued

(continued)

Critical Business Process	Responsible Party	Support to Essential Function	Priority Under COOP Activation
Defendant testing (lock-up collection, weekly check-ins and scheduling, status report preparation)	DTCU	Function 1 & 2	1 Day
Courtroom testimony	DTCU	Function 1 & 2	30 Days
Record checks	DTCU	Function 1 & 2	1 Day
FTA/No Show placements	DTCU	Function 1 & 2	7 Days
Medications-the ability to determine whether positive results may have been caused by medication	DTCU	Function 2	30 Days

Identification of Continuity Personnel

In order to continue its essential and government functions, PSA has determined the staff positions necessary to perform those functions under COOP activation. PSA has established and maintains point-of-contact rosters of trained continuity personnel. The rosters include names and home, work, and cellular telephone numbers. PSA maintains its contact roster information separately from the COOP due to the need for constant revision and for privacy concerns.

Each continuity member is selected by the PSA Director based upon:

- The predetermined essential functions that must be performed, regardless of the operational status of PSA’s headquarters;
- The member’s knowledge and expertise in performing these essential functions; and
- The member’s ability to support essential functions in an emergency situation.

Critical Functions Team

The positions listed below constitute the Critical Functions Team (CFT) for PSA:

- Director
- Deputy Director (Continuity Coordinator)
- Associate Director, Operations
- Deputy Associate Director, Operations
- Director of Office of Planning, Policy and Analysis
- Director of Office of Human Capital Management
- Director of Office of Information Technology
- Director of Office of Finance and Administration
- OPPA COOP Manager

Note: It is important to note that not all emergencies are the same, and that the PSA Director or designated representative may ask other leaders within the organization to participate on the CFT depending on the situation at hand.

Continued on next page

Identification of Continuity Personnel, Continued

Critical Functions Team
(continued)

PSA has also designated other emergency teams to support the essential functions of the agency during other events.

The following table shows PSA’s essential functions, critical business processes and staff that support these functions. It is important to note that not all of these individuals are required at once to support an essential function. The list below is used to help leadership determine who to contact based on which essential functions have been prioritized for restoration following an emergency.

Function/Critical Business Process	Responsible Party (s)
Agency Management	PSA Director
Accounting, budget formulation & execution, and procurement	OF&A Director, Sr. Budget Analysts, Contracting Officer, Accounting Officer
Facility Management	OF&A Director, Support Services Supervisor

Continued on next page

Identification of Continuity Personnel, Continued

**Critical
Functions
Team**
(continued)

Function/Critical Business Process	Responsible Party (s)
Time and attendance, personnel accountability processing	OHCM, supervisors and program managers
Systems Support, IT customer service,	OIT Director, LAN Manager, IT Specialist, Director, System Development & IT Security, PRISM Administrator
Oversee daily operations, advise agency Director & Deputy Director, ensures offices operations are accomplished	Associate Director, Operations, Deputy Associate Director, Operations, Special Assistants
Performance measurement, performance-based budgeting, performance reporting	PPA Director, Senior Program Analyst, Program Analyst
Defendant reporting in person and/or by telephone, report preparation and compliance monitoring	Supervision Program I Manager, Special Assistants ,Program Analysts, Supervisors
High Intensity Supervision Program, Traffic Safety Supervision Unit, electronic monitoring and court representation	Supervision Program II Manager, Special Assistants, Program Analysts, Supervisors

Continued on next page

Identification of Continuity Personnel, Continued

**Critical
Functions
Team**
(continued)

Function/Critical Business Process	Responsible Party (s)
Superior Court Drug Intervention Program, Sanctions Based Treatment Team, Specialized Supervision Teams, Social Services and Assessment Center	Treatment Program Manager, Special Assistant, Clinical Services Specialist ,Supervisors
Interviewing defendants, verification of information, database case entry, printing MPD lock up list, communication with USAO, US Marshal Service (cellblock), and MPD	Court Services Program Manager Special Assistants , Supervisors
Urine drug collection, FTA/No show placements, record checks, courtroom testimony, status report preparation, and medications	Drug Testing Compliance and Quality Management Program Manager, and Supervisors
Forensic toxicology and consultation, expert testimony, procure reagents, supplies, and instruments	Forensic Toxicology Services Director, Deputy Director and Supervisors

PSA maintains its contact roster information separately from the COOP due to the need for constant revision and for privacy concerns. Contact the Office of Human Capital Management for current contact information.

Vital Records Management

“Vital records” refers to information systems and applications, electronic and hard-copy documents, references, and records, to include sensitive data, needed to support essential functions during a continuity event. PSA has incorporated its vital records program into the overall continuity program, plans, and procedures.

PSA’s vital records program incorporates a clear authority to include:

- Policies
- Authorities
- Procedures
- The written designation of a PSA Vital Records Manager

As soon as possible but no later than 12-48 hours of activation, CFT must have access to the appropriate media for accessing vital records, including:

- A local area network
- Electronic versions of vital records
- Supporting information systems and data
- Internal and external e-mail and e-mail archives
- Hard copies of vital records

PSA has identified the following as vital to its operations within the first 30 days of activation of the COOP, and has assigned responsibility for those records to the Deputy Director, which includes a combination of personnel in the information technology office and records management personnel.

Continued on next page

Vital Records Management, Continued

Vital File, Record, or Database	Form of Record Electronic/Hard Copy	Pre-positioned at Continuity Facility	Hand carried to Continuity Facility	Multiple Storage Location (s)	Maintenance Frequency
Director					
Policy statements	E	No	No	Yes	Annually
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly Update as needed
Delegation of Authority Document	E	No	No	Yes	As Needed
COOP	E	No	No	Yes	As Needed
PRISM	E	No	No	Yes	Daily
DTMS	E	No	No	Yes	Daily
myPSA	E	No	No	Yes	Daily
File Share	E	No	No	Yes	As Needed
OF&A					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Policy Statements	E	No	No	Yes	Annually
Apportionment	E	No	No	Yes	As Needed
Delegation of Authority Document	E	Yes	Yes	Yes	As Needed
Advice Allotment	E	No	No	Yes	As Needed
Contracting Officer Warrants	E/HC	No	Yes	Yes	Quarterly
Listing of Vital Contracts	E/HC	No	Yes	Yes	Quarterly

Continued on next page

Vital Records Management, Continued

Vital File, Record, or Database	Form of Record Electronic/Hard Copy	Pre-positioned at Continuity Facility	Hand carried to Continuity Facility	Multiple Storage Location (s)	Maintenance Frequency
OF&A (continued)					
Purchasing Authority provided to Purchase Cardholders	E	No	No	Yes	Annually
Emergency Occupancy Plans	E	No	No	Yes	Annually
Floor Plans for PSA Occupied Space	E	No	No	Yes	Annually
myPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed
OHCM					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Official Personnel File	E	No	No	Yes	As Needed
IPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed
OIT					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Server Software	E	No	No	Yes	As Needed
Server Set up/Drivers	E	No	No	Yes	As Needed
All Applications Software	E	No	No	Yes	As Needed
Contingency Plan for PSA Enterprise	E	No	No	Yes	As Needed

Vital Records Management, Continued

Vital File, Record, or Database	Form of Record Electronic/Hard Copy	Pre-positioned at Continuity Facility	Hand carried to Continuity Facility	Multiple Storage Location (s)	Maintenance Frequency
OPPA					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Policy Statements	E	No	No	Yes	Annually
Management Instructions	E	No	No	Yes	Annually
myPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed
Court Services					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Program Manuals	E	No	No	Yes	Annually
Interview Jackets	HC	No	Yes	Yes	As Needed
PRISM	E	No	No	Yes	As Needed
WALES/NCI C	E	No	No	Yes	As Needed
Vital File, Record, or Database	Form of Record Electronic/Hard Copy	Pre-positioned at Continuity Facility	Hand carried to Continuity Facility	Multiple Storage Location (s)	Maintenance Frequency

Court Services (continued)					
DTMS	E	No	No	Yes	As Needed
myPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed
OFTS					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
GCMS Confirmation Data on Defendants/Offenders & Supporting Documentation	E	No	No	No	Daily
DTMS Specimen Test Results & Levels	E	No	No	No	Daily
GCMS Confirmation Batch Test Results	E	No	No	No	Daily
PRISM	E	No	No	Yes	As Needed
DTMS	E	No	No	Yes	As Needed
myPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed
FTDTL SOP	HC	No	Yes	No	Annually
MSDS SOP	HC	No	Yes	No	Annually
Vital File, Record, or Database	Form of Record Electronic/Hard Copy	Pre-positioned at Continuity Facility	Hand carried to Continuity Facility	Multiple Storage Location (s)	Maintenance Frequency

OFTS (continued)					
Proficiency Surveys	E	No	No	No	Quarterly
Drug Testing Compliance and Quality Management					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Program Manuals	E	No	No	Yes	Annually
PRISM (Adult & Juvenile)	E	No	No	Yes	As Needed
DTMS	E	No	No	Yes	As Needed
myPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed
Supervision Programs I and II					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Program Manuals	E	No	No	Yes	Annually
PRISM	E	No	No	Yes	As Needed
WALES/NCI C	E	No	No	Yes	As Needed
DTMS	E	No	No	Yes	As Needed
myPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed
Vital File, Record, or Database	Form of Record Electronic/Hard Copy	Pre-positioned at Continuity Facility	Hand carried to Continuity Facility	Multiple Storage Location (s)	Maintenance Frequency

Treatment Program					
Emergency Contact List (R Directory)	E	No	No	Yes	Quarterly
Program Manuals	E	No	No	Yes	Annually
ACCU_CAR E	E	No	No	Yes	As Needed
PRISM	E	No	No	Yes	As Needed
WALES/NCI C	E	No	No	Yes	As Needed
DTMS	E	No	No	Yes	As Needed
myPSA	E	No	No	Yes	As Needed
File Share	E	No	No	Yes	As Needed

Temporary Operating Facilities and Teleworking

Temporary Operating Facilities

PSA utilizes temporary operating facilities to support its ability to perform essential functions during COOP situations.

Temporary operating facilities are defined as either operating temporarily from another PSA facility or working remotely from another location (teleworking). PSA may relocate essential employees to one of its other operating locations in the event normal operations at its central locations are disrupted or threatened.

This process provides PSA with the ability to meet the mission objectives outlined below:

- (1) Ensure that PSA can perform its essential functions (EFs) under all conditions
- (2) Reduce the loss of life and minimize property damage and loss
- (3) Execute a successful order of succession with accompanying authorities in the event a disruption renders PSA's leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of the office
- (4) Reduce or mitigate disruptions to operations
- (5) Protect essential facilities, equipment, records, and other assets, in the event of a disruption
- (6) Achieve PSA's timely and orderly recovery and reconstitution from an emergency

Currently PSA occupies space in six different buildings: PSA headquarters are located at 633 Indiana Avenue, NW. PSA also occupies space in:

- 601 Indiana Avenue, NW
- 500 Indiana Avenue, NW (DC Superior Court)
- 90 K Street, NE
- 333 Constitution Avenue, NW (United States District Court), and
- 1025 F Street, NW

If an emergency occurs that affect PSA headquarters, personnel can be relocated to one of the other facilities temporarily. If an emergency occurs at one of the other facilities, personnel can be relocated to PSA headquarters or another PSA facility, as space permits. The decision on where to relocate to or work from is made by the PSA Director based on the nature of the threat or emergency.

Continued on next page

Temporary Operating Facilities and Teleworking, Continued

Teleworking

In recognition of the growing importance of telework in maintaining the continuity of government operations, PSA may require teleworkers to work, either at telework sites or at official duty stations, even when the Agency is closed. Each teleworker's supervisor, in consultation with Agency management, will make that determination on a case-by-case basis.

Instructions on how to register for the telework program can be found in Policy Statement 4040.2 Telework Program issued by the Office of Human Capital Management.

Continuity Communications

The ability of an organization to execute its essential functions depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal organization elements, other organizations, critical customers, and the public, during crisis and disaster conditions.

PSA has identified available and redundant critical communication systems that are located at its central locations. Further, PSA maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telecommuting and other virtual offices.

PSA provides assured and priority access to communications resources, including Government Emergency Telephone Service (GETS) and Wireless Priority Service (WPS).

Modes of communication that support PSA's essential functions include:

- Non secure telephones
- PSA emergency operations telephone line
- Fax lines
- Cellular telephones (provided to specific employees)
- CITRIX/e-mail
- Internet access
- PSA web page
- Data lines
- Law Enforcement Online (LEO) (provided to CFT)
- Government Emergency Telecommunications Service (GETS) cards (provided to CFT)
- Wireless Priority Service (WPS) (provided to CFT)

Leadership and Staff

Delegation of Authority and Orders of Succession

This section identifies current orders of succession/delegation of authority to the organization head and key positions, such as the PSA Director and Deputy Director as stated in PSA Policy 1010; *Delegation of Authority and Succession for the Director of the Pretrial Services Agency for the District of Columbia*. Revisions should be distributed to agency personnel as changes occur.

PSA has identified successors for the positions of Director and Deputy Director. PSA is responsible for ensuring orders of succession/delegation of authority are up-to-date. When changes occur, OF&A distributes the changes to all offices within the agency.

PSA's orders of succession/delegation of authority are:

- At least three positions deep, where possible, ensuring sufficient depth to ensure PSA's ability to manage and direct its essential functions and operations
- Geographically dispersed, where feasible
- Described by positions or titles, rather than by names of individuals holding those offices
- Included as a vital record, with copies accessible and/or available at both the primary (headquarters) and central locations

The following table shows the order of succession for the Director of PSA.

Position	Designated Successor
<i>Director</i>	Deputy Director of PSA
	Associate Director, Operations
	Director, Office of Finance and Administration

The following table shows the order of succession for the Deputy Director of PSA.

Position	Designated Successor
<i>Deputy Director</i>	Associate Director, Operations
	Director, Office of Finance and Administration
	Director, Planning, Policy and Analysis

Continued on next page

Leadership and Staff, Continued

Orders of Succession and Delegation of Authority (continued)

In addition, each order of succession/delegation of authority identifies the rules and procedures designated officials must follow when facing issues of succession to office during continuity events and reference applicable laws and agency directives.

In the event of a change in leadership status, PSA must notify the successors, as well as internal and external stakeholders. In the event the PSA leadership becomes unreachable or incapable of performing their authorized legal duties, roles, and responsibilities, PSA will initiate a notification of the next successor in line.

PSA training records document the conduct of annual successor/delegation of authority training for all personnel who assume the authority and responsibility of the organization's leadership to include briefing successors to the position of Director/Deputy Director on their responsibilities and duties as a successor.

Continuity Personnel

People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated by the Director of PSA to perform assigned response duties. One of these categories is continuity personnel, commonly referred to as the Critical Functions Team (CFT).

In respect to these continuity personnel, PSA must:

- Identify and designate those positions and personnel they judge to be critical to organization operations in any given emergency situation as essential personnel.
- Identify and document its essential personnel. These personnel possess the skill sets necessary to perform essential functions and supporting tasks.
- Officially inform all essential personnel of their roles or designations to ensure that essential personnel know and accept their roles and responsibilities.
- Ensured continuity personnel participate in their organization's continuity TT&E program, as reflected in training records. Training records are maintained by the Office of Operations.
- Provided guidance to essential personnel on individual preparedness measures they should take to ensure response to a continuity event.

Leadership and Staff, Continued

All Staff

It is important that PSA keep all staff informed and accounted for during a continuity event. PSA has established procedures for contacting and accounting for employees in the event of an emergency.

PSA employees are expected to remain in contact with their Office Director/Supervisor during any closure or relocation situation. PSA has developed the PSA Emergency Operating Procedures Policy, which outlines the procedures and the extent to which employees are expected to remain in contact with the agency during any closure or relocation situation.

Accounting for all personnel during a continuity event is of utmost importance. Accountability information is reported to OHCM at 24-hour increments. Office Director/Supervisors have the responsibility of attempting contact with those individuals who are unaccounted for.

An event that requires the activation of the COOP will likely personally affect PSA staff. Therefore, the OHCM has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims following a catastrophic disaster.

Human Capital Considerations

The PSA continuity program plans, and procedures incorporate existing agency-specific guidance and direction for human capital management, including guidance on pay, leave, and work scheduling, benefits, telecommuting, hiring, authorities, and flexibilities. OHCM has the responsibility for PSA human capital issues. Further, the OHCM communicates human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, teleworking, hiring authorities, and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency.

Testing, Training, and Exercises Program

PSA will maintain a test, training and exercises (TT&E) program that comply with FCD 1 and the Department of Homeland Security (DHS)-mandated National Exercise Program (NEP), as appropriate. PSA will perform TT&E events at regular intervals throughout the year, in accordance with FCD 1, and ensure the requirements in the following table are met through various activities and events (note: multiple topic areas in the following chart may be consolidated in individual trainings and events as is deemed suitable).

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
<i>TT&E Program Assessment</i>				
Conduct assessment of organization's continuity TT&E programs and continuity plans and programs				✓
Report findings of all annual assessments as directed to FEMA				✓
<i>Training</i>				
Train continuity personnel on roles and responsibilities			✓	
Conduct continuity awareness briefings or orientation for the entire workforce			✓	
Train organization's leadership on essential functions			✓	
Train personnel on all reconstitution plans and procedures			✓	
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			✓	

Continued on next page

Testing, Training, and Exercises Program, Continued

(continued)

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				✓
<i>Tests & Exercises</i>				
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 essential functions			✓	
Test plans and processes for recovering vital records, critical information systems, services, and data			✓	
Test and exercise required physical security capabilities at continuity facilities			✓	
Test internal and external interdependencies with respect to performance of essential functions			✓	
Test capabilities for protecting classified and unclassified vital records and for providing access to them from the continuity facility			✓	

Testing, Training, and Exercises Program, Continued

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
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			✓	
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				✓

Continued on next page

Testing, Training, and Exercises Program, Continued

PSA will formally document and report all conducted continuity TT&E events, including documenting the date of the TT&E event, the type of event, and names of participants. Documentation will also include test results, feedback forms, participant questionnaires, and any other documents resulting from the event. PSA will conduct and document a comprehensive debriefing or hotwash after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the organization's continuity plan. All of this data and documentation, as well as evaluator observations, analyses, and recommendations, feed into the After Action Report (AAR).

Training

The training of PSA personnel is essential to ensuring that the Agency maintains the capability to execute the PSA COOP properly and efficiently. FCD 1 mandates that the annual training program for COOP personnel include at a minimum:

- Annual COOP awareness briefing (or other means of orientation) for the entire workforce;
- Annual team training for CFT personnel; and
- Annual team training for agency personnel (and host or contractor personnel) assigned to activate, support, and sustain COOP operations at temporary operating facilities.
- Periodic office-specific trainings, as needed.

Continued on next page

Testing, Training, and Exercises Program, Continued

Training (continued)

In addition, PSA will offer Emergency Preparedness training for all personnel on how to prepare themselves and their families at home, work, and while on travel. Additional outreach activities regarding personal preparedness and COOP awareness are undertaken during September of each year (National Preparedness Month). Designated personnel are required to attend annual COOP training. PSA will offer classroom training as a method of fulfilling this mandate, and in the future will be focusing on developing e-training and online trainings as a means to conduct training and outreach as applicable. These methods may include webinars, interactive computer programs, and videos. PSA personnel are encouraged to take the Federal Emergency Management Agency (FEMA) Independent Study online orientation course, *IS-546: COOP Awareness* (www.training.fema.gov/IS), which takes approximately one hour and the student receives a certificate upon completion.

Program	Method	Audience	Frequency
COOP Orientation/ Implementation	Classroom/on-line	Emergency/Mission Critical Emergency 1 Personnel; Mandatory for CFT members	Upon plan deployment, new hires, and new CFT members
COOP Awareness Briefing/ Training	Online: <i>FEMA Independent Study Course IS-546</i>	Mandatory for CFT members, Optional for all PSA Employees	Annually
Emergency Preparedness	Classroom/on-line	All PSA Employees	Annually (optional)
Occupant Emergency Plan/ Evacuation/ Shelter-in-Place	Classroom/on-line	All PSA Employees	Annually
Roles and Responsibilities for CFT Members	Classroom/on-line	All CFT members	Annually

OHCM provides and coordinates specific training for all Agency personnel. The Training and Career Development Center tracks agency training, and strives to incorporate areas of improvement and best practices from previous exercises and real-world events to enhance trainings.

Continued on next page

Testing, Training, and Exercises Program, Continued

Tests and Exercises

PSA will exercise the COOP through a series of tests and exercises that build upon each other in skill-sets and difficulty and follow the DHS Homeland Security Exercise and Evaluation Program (HSEEP) model (www.hseep.dhs.gov). The tests and exercises replicate emergency situations that require activated staff to respond to ensure that PSA's mission, critical functions, and operating environments are supported. There are several options for testing and exercising the PSA COOP including:

Drill: A drill involves the testing or exercising of a single emergency response function or action (e.g., notification, or data recovery).

Tabletop Exercise: A tabletop exercise allows participants to conceptually step through the procedures to be followed for either a single function or entire phase of a COOP event with a limited group of personnel.

Operational Exercise: Operational exercises include both Functional and Full Scale exercises, which may include participation in PSA-only exercises, as well as National Level and/or interagency exercises. These operational exercises provide the opportunity to test and exercise the entire PSA COOP, from activation through deployment, and conclude with reconstitution or returning to normal operations.

Note: Participation in joint or interagency tests and exercises may be required that would involve agencies or organizations outside of PSA, and can encompass any of the three types of exercises identified above.

Continued on next page

Testing, Training, and Exercises Program, Continued

Tests and Exercises (continued)

The “No Fault” evaluation concept will apply to all PSA exercises. Performance by individuals or offices is not graded. Exercise evaluation is only intended to identify systemic weaknesses and to suggest corrective actions that enhance readiness. Following an exercise, a comprehensive hotwash and/or debriefing is conducted for the participants to identify systemic weakness in plans and procedures and to recommend COOP revisions. An after-action report will be completed and corrective actions (plan maintenance) implemented, as necessary through a CAP, which is described below. Tests and exercises are documented and reported annually to the DHS NEP.

Continued on next page

Testing, Training, and Exercises Program, Continued

Tests and Exercises (continued)

It is the responsibility of PSA to establish a test, training, and exercise schedule annually for the PSA COOP, coordinate the testing and exercising of plans across the agency, and determine the reporting requirements of the after-action reports. This may be documented in a Multi-Year Training and Exercise Plan (for all programs), if applicable. The COOP Program-specific Testing and Exercise Schedule is presented below.

Method	Audience	Function Exercised	Frequency	Resources Required
Test	OIT	<ul style="list-style-type: none"> • Test all systems at alternate facility (IT, power, communications, etc.) • Test ability to access specific vital records and critical information systems at the alternate site 	Annually	<ul style="list-style-type: none"> • Computers • Phones • Secondary Power Backups • Other
Drill	All PSA Employees	<ul style="list-style-type: none"> • Manual telephone tree test • (If applicable, PSA will coordinate its notification tests with any national or interagency tests) 	Quarterly	<ul style="list-style-type: none"> • Phone • Cellphones • E-mail

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Testing, Training, and Exercises Program, Continued

Tests and Exercises (continued)

Method	Audience	Function Exercised	Frequency	Resources Required
Operational Exercises <ul style="list-style-type: none"> • Functional • Full Scale • National Level/ Interagency 	Essential Personnel	<ul style="list-style-type: none"> • Alert and notification • Deploy to alternate site • Account for employees • Ensure physical security • Perform essential functions 	Annually	<ul style="list-style-type: none"> • Communications (Cellphones, E-mail, other) • Transportation Services • Alternate site operations • Vital Records
Tabletop Exercise	CFT	Walk through procedures, roles, and responsibilities of each member of the group as it relates to a specific scenario	Annually	To be determined

Corrective Action Program

As part of the FCD 1 requirements, PSA will develop 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 PSA CAP will incorporate evaluations, After Action Reviews (AARs), and lessons learned from a cycle of events into the development and implementation of its CAP. The PSA CAP is maintained by the Office of Planning, Policy and Analysis.

The PSA CAP will:

1. Identify continuity deficiencies and other areas requiring improvement;
2. Delineate responsibilities and a timeline for corrective action;
3. Identify program and other continuity funding requirements for submission to organization leadership and the Office of Management and Budget;

Continued on next page

Testing, Training, and Exercises Program, Continued

**Corrective
Action
Program**
(continued)

4. Identify and incorporate efficient acquisition processes and, where appropriate, collect all interagency requirements into one action; and
 5. Identify continuity personnel requirements for organization leadership and their supporting Human Resource Offices and OPM, where appropriate.
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Annex A-Glossary

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) 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, and environment, economy, or government functions.

Continued on next page

Annex A-Glossary, Continued

Category – This term refers to the categories of agencies

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.

Continued on next page

Annex A-Glossary, Continued

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.

Annex A-Glossary, Continued

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 performing 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.

Annex A-Glossary, Continued

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 Advisory System – A series of tools used by DHS that provide the public with guidance on the status of the nation’s homeland security. The system combines threat information with vulnerability assessments, and communicates this information to public safety officials and the public. The system includes Homeland Security Threat Advisories, Homeland Security Information bulletins, and the Threat Level System.

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 decision-makers 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

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Annex A-Glossary, Continued

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.

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Annex A-Glossary, Continued

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.

Presidential Policy Directive 40 (PPD-40) - National Continuity Policy, directs the Secretary of Homeland Security through the Administrator of the Federal Emergency Management Agency (FEMA) to coordinate the implementation, execution, and assessment of continuity activities among executive departments and agencies (D/As).

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 as soon as possible but no later than 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.

Annex A-Glossary, Continued

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.

Telecommuting – 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.

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Annex A-Glossary, Continued

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.

Annex B-Authorities and References

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. National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, dated July 25, 2007.
- 10) National Continuity Policy Implementation Plan, dated August 2007.
- 11) Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated January 17, 2017.
- 12) Federal Continuity Directive 2 (FCD 2), *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, dated June 2017.

References

- 1) Presidential Decision Directive 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas*, dated May 22, 1998.

Continued on next page

Annex B-Authorities and References, Continued

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- 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) Homeland Security Presidential Directive 3, Homeland Security Advisory System, dated March 11, 2002.
- 6) NIST Special Publication 800-34, Contingency Planning Guide for Information Technology Systems, dated June 2002.
- 7) Homeland Security Presidential Directive 5, Management of Domestic Incidents, dated February 28, 2003.
- 8) National Incident Management System (NIMS), dated March 1, 2004.
- 9) Homeland Security Presidential Directive 12, Policy for a Common Identification Standard for Federal Employees and Contractors, dated August 27, 2004.
- 10) National Strategy for Pandemic Influenza, dated November 1, 2005.
- 11) National Infrastructure Protection Plan dated 2006.
- 12) National Strategy for Pandemic Influenza Implementation Plan, dated May 2006.
- 13) NIST Special Publication 800-53, Recommended Security Controls for Federal Information Systems, dated December 2006.
- 14) National Exercise Program Implementation Plan, April 2007.
- 15) NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2007 Edition.

- 16) National Exercise Program Implementation Plan, April 2007.
- 17) NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2007 Edition.
- 18) FEMA Continuity of Operations Plan Template Instructions.
- 19) FEMA Continuity of Operations Plan Template.
- 20) 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
CFT Critical Functions Team
COGCON Continuity of Government Conditions
COOP Continuity of Operations Plan
CSOSA Court Services and Offender's Supervision Agency
DCSC District of Columbia Superior Court
DHS Department of Homeland Security
DOC Department of Corrections
EF Essential Function
EO Executive Order
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
GSA General Services Administration
HSAS Homeland Security Advisory System
HSEEP Homeland Security Exercise and Evaluation Program

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Annex C-Acronyms, Continued

HSPD	Homeland Security Presidential Directive
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPD	Metropolitan Police Department
NCC	National Continuity Coordinator
NCR	National Capital Region
NEF	National Essential Function
NSPD	National Security Presidential Directive
OAG	Office of the Attorney General
OPM	Office of Personnel Management
PMEF	Primary Mission Essential Function
PSA	Pretrial Services Agency
RRS	Readiness Reporting System
TT&E	Test, Training, and Exercise
USAO	United States Attorney's Office
USDC	United States District Court
WPS	Wireless Priority Service