CONTINUITY OF OPERATIONS PROGRAMS AND CONTINUITY OF GOVERNMENT FUNCTIONS

I. Purpose

This directive establishes Department of Homeland Security (DHS) policy regarding Continuity of Operations Programs (COOP) and Continuity of Government (COG) functions.

II. Scope

This directive applies to all DHS organizational elements.

III. Authorities


C. Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121, et seq.).


IV. References


V. Definitions

A. The activities of individual departments and agencies and their sub-components to ensure that their essential functions are performed. This includes: plans and procedures that delineate essential functions; specify succession to office and the emergency delegation of authority; provide for the safekeeping of vital records and databases; identify alternate operating facilities; provide for interoperable communications; and validate the capability through tests, training, and exercises.

B. **Continuity of Government**: Efforts across the Executive Branch to ensure the continued performance of essential functions during national security situations.

C. **Essential Functions**: Functions that enable Federal Executive Branch agencies to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base during an emergency.

D. **DHS Organizational Elements**: See DHS MD 0010.1, Paragraph 4.D for the definition.

VI. Responsibilities

A. The DHS Secretary, through the Under Secretary for Emergency Preparedness and Response (EP&R) shall:

1. Direct and oversee the implementation of COOP and COG program activities;

2. Establish a DHS COOP working group to provide oversight and direction to the DHS COOP program. This working group will be Co-Chaired by the DHS Chief of Staff’s Office and the Emergency Preparedness and Response Directorate’s Office of National Security Coordination;

3. Develop a Multi-Year Strategy and Program Management Plan to support the DHS COOP program; and,

4. Develop a test, training and exercise (TT&E) program to support the DHS COOP program. The TT&E program will be conducted in accordance with guidance in the COOP Federal Preparedness Circular (FPC).

B. The Under Secretary for Emergency Preparedness and Response shall:
1. Assume the role as Lead Federal Agent for Federal Executive Branch COOP and COG programs;

2. Have primary responsibility for the development and execution of the Department-wide COOP program;

3. Provide guidance and assistance to organizational elements in the development of a comprehensive and effective program to ensure continuity of their essential functions;

4. Issue to all newly incorporated organizational elements appropriate policy guidance on COOP development, coordination, and implementation; and,

5. Establish interdepartmental coordination mechanisms, coordinate a periodic assessment of Federal and Department COOP and COG capability, and provide guidance and assistance to organizational elements as appropriate.

C. Each organizational element head shall:

1. Develop a COOP Implementation Plan that supports DHS efforts and addresses the unique aspects of the organizational element’s respective requirements, plans, or procedures;

2. Develop and include in the organization’s COOP implementation plan, a list of essential functions required in an emergency severe enough to activate the organization’s COOP;

3. Prepare and maintain a roster of personnel needed to ensure a minimum level of performance of the organization’s essential functions;

4. Provide a senior representative to the DHS COOP working group to support DHS COOP planning and preparedness activities;

5. Develop a Multi-Year Strategy and Program Management Plan to support the organization’s COOP program; and,

6. Develop a TT&E program to support the organization’s COOP program. The TT&E program will conducted in accordance with guidance in the COOP FPC.
VII. Policy & Procedures

A. Policy: All responsibilities that were delegated to individual organizational elements under PDD 67 will remain with those elements until otherwise directed:

1. Organizational elements with existing COOP and COG plans may maintain their associated authorities and policies until otherwise directed by the Under Secretary for EP&R.

2. Organizational elements with no current COOP capability shall request immediate technical guidance and assistance from the Under Secretary for EP&R.

B. Procedures: Organizational elements with existing COOP and COG plans must submit the existing plans to the Office of National Security Coordination, Emergency Preparedness and Response for review by July 1, 2004. EP&R organizational elements must also coordinate their existing COOP plans with the Office of the Under Secretary by July 1, 2004.

C. Questions or Concerns Regarding the Process: Any questions or concerns regarding this directive should be addressed to the Office of National Security Coordination, Emergency Preparedness and Response.