



**U.S. General Services Administration**

# **Executive Order 12656 Presidential Decision Directives and Continuity of Operations Planning**

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## COOP:

**Effort within individual departments and agencies to assure continuance of their minimum essential functions across a wide range of potential emergencies. (EO 12656, Federal Response Plan, Counterterrorism, Critical Infrastructure Protection)**

**To provide an overview of Presidential Decision Directives and related Continuity of Operations (COOP) roles and responsibilities:**

- **Historical Background**
- **PDD Overview and Requirements**
- **FEMA's role as Executive Agent**
- **COOP requirements**
- **D/A COOP Guidance**
- **GSA's Responsibilities**

# COOP Planning

**Your COOP must effectively integrate two critical elements of your organization's emergency preparedness initiatives:**

- **Occupant Emergency Plan**
- **Continuity of Operations Plan**

**The OEP saves personnel, the COOP moves the personnel and work functions to a safe working environment.**

# Historical Background

*In the beginning.....*

**The White House  
created  
Executive Order 12656**

# Historical Background

**E.O. 12656 assigns national security emergency preparedness responsibilities to Federal departments and agencies.**

**The Order did not provide for:**

- **Minimal Federal level guidance**
- **No single POC as oversight**
- **No dedicated COOP planning**
- **Individual D/A efforts varied**

# Historical Background

## *The Changing Threat*

### OLD

- Single (Soviet)
- Survival at Stake
- Known
- Deterrable
- Strategic Use of Nukes
- Overt
- Europe-Centered
- High Risk of Escalation

### NEW

- Diverse
- American Interest at Stake
- Unknown
- Non-Deterrable
- Terrorist Use of WMDs
- Covert
- Regional, Ill-Defined
- Little Risk of Escalation

# Threats change



**Feb 26, 1993**

Apr 19, 1995





## After the Oklahoma City bombing, a renewed emphasis in COOP Activities

- **New threat paradigm: WMD and asymmetric threats**
- **PDD 39 Counter-terrorism, 6/95**
- **PDD 62 Terrorism, 5/98**
- **PDD 63 Critical Infrastructure Protection, 5/98**
- **PDD 67 Continuity of Operations, 10/98**

## Presidential Decision Directive 39

**PDD 39 assigned the lead responsibility to the FBI. The lead role in crisis management entail process of identifying, acquiring, and planning the use of resource needed to prevent terrorist incidents**

**FEMA has responsibility for consequence management that entails preparedness and response for dealing with the consequence of a terrorist incident.**

## Presidential Decision Directive 62

**PDD 62 was designed to improve our response capability to fighting terrorists.**

**PDD 62 created a systemic approach to fighting terrorism. It clarified agency counter-terrorism programs, increased transportation security, enhanced response capabilities, improved apprehension and prosecution capability.**

## Presidential Decision Directive 63

**On May 22, 1998, the President ordered the strengthening of the nation's defenses against emerging unconventional threats to the United States to include those involving terrorist acts, weapons of mass destruction, *assaults on our critical infrastructures, and cyber-based attacks.***

## Presidential Decision Directive 67

- Recognizes emerging threats
- Stresses continuation of Federal government essential operations in an all-hazards environment
- GSA was assigned responsibilities
- Designates FEMA as Executive Agent for COOP

## FEMA's Roles and Responsibilities

- Serves as the Executive Agent
- Coordinates COOP activities of Federal Executive Branch agencies
- Issues COOP guidance, in cooperation with GSA, to promote understanding of, and compliance with, the requirements and objectives of governing directives.

## FEMA's Roles and Responsibilities

- **Chairs the COOP Working Group (CWG)**
- **Coordinates Federal Executive Branch interagency COOP exercise and**
- **Conducts periodic assessments of Federal Executive Branch COOP capabilities and reporting the results to the National Security Council**

## GSA's Roles and Responsibilities

- **Coordinate with FEMA to develop and conduct a plan to issue periodic guidance to the federal family in the form of a Federal Preparedness Circular;**
- **Conduct training for department and agencies, to ensure that they comply with the requirements and objectives of the COOP directives;**

## GSA's Roles and Responsibilities

- **Develop and implement a plan that will ensure all departments and agencies identify required alternate facilities to support the COOP requirements;**
- **In coordination with DOD develop a plan and mechanism for collecting, maintaining, and distributing a database of Continuity of Operations (COOP).**

## GSA's Roles and Responsibilities

- **Ensure that a national inventory of alternate facilities is maintained, updated, and resolve conflicts; approve standards and procedures for site searches and selection, and archiving information as assisted by DOD.**

## PDD-67 COOP Requirements

- **Viable D/A COOP capability by October 21, 1999**
  - All hazards approach
  - Alternate facilities
  - Operate within 12 hrs of activation
  - Sustain for up to 30 days

# COOP Planning Guidance

## First Steps:

- **Determine the business requirements of the organization**
- **Identify essential functions that must continue to be performed**
- **Ensure proper staffing of those functions**
- **Identify mission critical data and systems supporting the essential functions**

# COOP Planning Guidance

## First Steps:

- **Prioritize your essential functions**
- **Defer functions not deemed essential to immediate agency needs until additional personnel and resources become available**
- **Integrate supporting activities to ensure that essential functions can be performed as efficiently as possible during emergency relocation.**

## Essential Functions:

**Essential functions are those 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 in an emergency**

## Line of Succession and Delegation of Authorities

- Establish rules and procedures addressing:
  - Conditions for succession
  - Method of notification
  - Time, geographical, organizational limitations
- Identify which authorities can/should be delegated
- Identify to whom authorities should be delegated
- Identify limitations of delegations

## Line of Succession and Delegation of Authorities

- Ensure that officials who may be expected to assume authorities in an emergency are trained to carry out their emergency duties
- Specify responsibilities and authorities of individual agency representatives designated to participate as members of interagency emergency response teams.
- Include the order of succession in the vital records of the agency
- Conduct orientation programs to prepare successors for their emergency duties

# COOP Planning Elements

## Operating Procedures

- Identify and prioritize Essential Functions
- Develop a roster of trained and qualified personnel with authority and knowledge of functions
- Develop procedures for alerting, advising and relocating functions and employees
- Develop procedures for performing essential functions
- Develop procedures for acquiring resources necessary to sustain operations for up to 30 days

## Vital Records

- **Plan for protection, duplication, movement of records (hard copy and electronic) vital to agency's essential functions**
  - Emergency operating records
  - Legal and financial records

# COOP Planning Elements

## Alternate Facilities

- Identify from existing agency facilities
- Determine Alternate Facility requirements
- Consider cooperative agreements, dual use facilities, sharing with other agencies
- Virtual office

– Federal Preparedness Circular 67

# COOP Planning Elements

## Interoperable Communications

- Identify and make available at alternate facility the data and communications systems to support essential functions
  - Internal and external communications
  - Secure and non-secure communications
  - Voice, fax, data, Internet, email

# COOP Planning Elements

## Personnel Issues

- **Address the health, safety, emotional well-being of all employees and their families**
- **Address pay status, administrative leave, layoffs**
- **Address medical, special needs, travel issues**

# COOP Planning Elements

## Exercises and Training

- Plan training for identified COOP personnel (individual/team)
- Periodically test alert and notification procedures
- Plan periodic exercise of operational plans, alternate facilities, interoperable communications
- Plan joint agency exercises
- Establish remedial action plan

*Additional information in FPC 66*

# COOP Planning Elements

## Administration and Logistics

- Identify, preposition, and maintain equipment and other resources required at alternate site, e.g.,
  - Computer equipment and software
  - File cabinets, desks, chairs
  - Office supplies
  - Vehicles

## Security

- **Ensure employee security clearances commensurate with their emergency duties**
- **Address security of alternate facility (access by employees, customers)**
- **Address security of communications**

# An Event has Three Phases

**Phase I                      Activation**  
**first 12 hours**

**Phase II                      12 Hours - Termination**

**Phase III                      Reconstitution**

# Elements of a Viable COOP

Federal Preparedness Circular 65 provided **SEVEN** (7) requirements of a viable COOP.

- Delineate essential functions and activities
- Decision process for determining appropriate actions in implementing COOP plans and procedures
- Have a roster of fully equipped and trained emergency personnel with the authority to perform essential functions and activities

# Elements of a Viable COOP

- Have procedures for employee advisories, alerts, COOP implementation, with instructions for relocation to pre-designated facilities, with and without warning, during duty and non-duty hours
- Provide for personnel accountability throughout the duration of the emergency

# Elements of a Viable COOP

- **Provide for attaining operational capability within 12 hours**
- **Establish reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations for up to 30 days**

# Elements of a Viable COOP

**In addition, a viable COOP needs to include:**

- **A Succession Plan and Delegation of Authority**
- **Alternate facilities**
- **Safekeeping of Vital Records**
- **Security**
- **Interoperable Communications**
- **A regular COOP Training, Testing and Exercise program**

# Some considerations for your COOP

- **Determine interrelationships and dependencies within your office, business unit, region and agency**
- **Spend time considering business exposures and expand discussion of potential threats and hazards**
- **Develop Family Plan, Communications Plan, Media Plan, IT Plan**

- **Need for guidance on Civil Warning System and COOP Activation levels**
  - **Draft Homeland Security Presidential Directive XX Federal Agency National Preparedness System**
- **Need for guidance on Vital Records**
  - **NARA is preparing a Federal Preparedness Circular for Vital Records and conducting training.**
- **Additional Guidance on Robust Communications capability**
- **Guidance on a Mail Security Plan**
- **Dual Roles**
- **Nation-wide badging system**

- *The plan MUST outline the process the agency will follow to designate essential functions and resources, define short and long term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles and establish planning milestones.*

# For additional information

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*Thank you.*  
*Are there any*  
*Questions?*