



## DCMA Manual 3301-02

# Continuity of Operations and Emergency Management

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<b>Office of Primary Responsibility</b>	Agency Mission Assurance, Integrating Capability
<b>Effective:</b>	September 7, 2018
<b>Releasability:</b>	Cleared for public release
<b>New Issuance Implements:</b>	DCMA-INST 3301, "Agency Mission Assurance," May 15, 2018
<b>Incorporates and Cancels:</b>	DCMA-INST 1005, "Continuity of Operations," April 22, 2014 DCMA-INST 1003, "Crisis Management," August 17, 2012
<b>Internal Control:</b>	Process flow and key controls are located on the Resource Page
<b>Labor Codes:</b>	Located on the Resource Page
<b>Resource Page Link:</b>	<a href="https://360.dcma.mil/sites/policy/MA/SitePages/3301-02r.aspx">https://360.dcma.mil/sites/policy/MA/SitePages/3301-02r.aspx</a>
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**Purpose:** This issuance, in accordance with the authority in DoD Directive 5105.64, "Defense Contract Management Agency (DCMA);" DoD Instruction (DoDI) 3020.42, "Defense Continuity Plan Development;" and DoDI 6055.17, "DoD Emergency Management (EM) Program," implements policy established in DCMA-INST 3301 and provides and defines procedures for the establishment and execution of Continuity of Operations and Emergency Management for DCMA.

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## SECTION 1: GENERAL ISSUANCE INFORMATION

**1.1. APPLICABILITY.** This issuance applies to DCMA Headquarters (HQ), Operational Units (OU), and all other organizational entities within DCMA.

**1.2. POLICY.** It is DCMA policy to provide instruction and guidance on the implementation of the Continuity of Operations (COOP) and Emergency Management (EM) in order to establish the minimum risk management requirements for assets including: personnel, facilities, equipment, networks, information, Information Technology (IT) Systems, and infrastructure critical to the execution of DCMA Mission Essential Functions (MEF).

a. COOP. The DoD process that identifies potential threats to an organization and the potential impact to operations those threats pose. Additionally, COOP provides a framework for building organizational resilience ensuring essential capabilities will be maintained within the Agency to enable uninterrupted execution of MEFs. Continuity management increases the resilience in the face of adverse circumstances, whether internal or external, and protects the Agency from a variety of risks. It facilitates delivery to customers as promised and reduces downtime and the cost of recovery in the event of an incident.

b. EM. EM is the DoD process to maintain DoD readiness and sustains mission assurance (MA) by conducting processes to prevent, mitigate, prepare for, respond to, maintain continuity during, and recover from an incident that threatens life, property, operations, or the environment. The focus is on emergencies affecting Agency personnel and facilities, and maintaining the ability of the Agency to perform its missions. The Agency EM Program aligns efforts with Presidential Policy Directive 8 (PPD-8), "National Preparedness."

c. It is DCMA policy to execute this Manual in a safe, efficient, effective, and ethical manner.

## **SECTION 2: RESPONSIBILITIES**

### **2.1. DIRECTOR, DCMA.** The Director, DCMA will:

- a. Ensure COOP plans incorporate, as changes occur, the Agency MEFs and Essential Supporting Activities (ESAs) as the basis for continuity planning, preparation, and execution.
- b. Submit DCMA HQ COOP Plans for review by DoD every 2 years and Acquisition and Sustainment (A&S) upon request. Correct non-compliant or partially compliant areas within 90 days.
- c. Establish, maintain, and resource a COOP and EM program that complies with the requirements of DoD Directive (DoDD) 3020.26, "Department of Defense Continuity Policy," DoD Instruction (DoDI) 6055.17, "DoD Emergency Management (EM) Program," and other higher-level policies.

### **2.2. DIRECTOR, PORTFOLIO MANAGEMENT AND BUSINESS INTEGRATION (PM&BI).** The PM&BI Director will:

- a. Serve as the senior Agency Continuity and EM Coordinator responsible for advising the Director and senior leadership team on continuity requirements, issues, and/or concerns.
- b. Represent the Agency at executive-level continuity and EM forums.
- c. Appoint and maintain a COOP and EM Program Manager (PM) trained and experienced in all aspects of continuity and EM program management.
- d. Provide oversight, direction, guidance, and support to the COOP and EM PM.
- e. Revalidate the Agency MEFs every 2 years.
- f. Serve as the approving authority for the Agency-prioritized MEF list and the HQ COOP Plan.
- g. Annually certify in writing through the Deputy Assistant Secretary of Defense for Defense Continuity and Mission Assurance (DC&MA) to the DoD Continuity Coordinator that the Agency's continuity program meets the requirements identified in DoDD 3020.26.
- h. Adhere to the requirements established in paragraph 2.9.

### **2.3. AGENCY COOP AND EM PM.** The COOP and EM PM will:

- a. Manage and lead the Agency's continuity and EM program and serve as the Agency's single point of contact (POC) for continuity and EM related matters.
- b. Develop and maintain Agency-level continuity and EM policy, tools, and training.

- c. Schedule, lead, conduct, and document the results of Agency level Continuity Working Group (CWG) and Crisis Action Team (CAT) meetings.
- d. Provide advice and assistance in the development of continuity and EM plans and programs.
- e. Represent the Agency at external action officer-level continuity and EM forums.
- f. Identify, consolidate, and report continuity and EM resource requirements for inclusion into the Agency's overarching budget.
- g. Conduct COOP workshops and/or seminars with OU and Agency HQ Component COOP POCs.

**2.4. DIRECTOR, IT.** The IT Director will:

- a. Provide and sustain IT systems and equipment necessary to support the performance of the Agency MEFs, associated Output Tasks, and ESAs.
- b. Test and validate information systems and networks to ensure they are interoperable, robust, reliable, and sufficiently resilient to support COOP and EM events under all hazard conditions.
- c. Maintain availability (or reconstitute the capability within 12 hours of a declared COOP incident) and access to essential data systems and applications necessary for the performance of Agency MEFs and ESAs.
- d. Notify Agency HQ and OUs when the Agency's alert notification system (AtHoc/DCMA Mass Notification System (DMNS)) is scheduled/down for system maintenance or out-of-service.
- e. Adhere to the requirements established in paragraph 2.9.

**2.5. DIRECTOR, FINANCIAL AND BUSINESS OPERATIONS (FB).** The FB Director will:

- a. Program and allocate sufficient resources to support the Agency's continuity and EM program. The budget should provide for acquisition of resources necessary for continuity operations of the Agency's MEFs and ESAs on an emergency basis for up to 30 days or until normal operations can be resumed.
- b. Adhere to the requirements established in paragraph 2.9

**2.6. DIRECTOR, CONTRACTS (AQ).** The AQ Director will:

a. Facilitate the acquisition of goods and services required to support an emergency or continuity event in accordance with the Federal Acquisition Regulation (FAR) Part 18, Emergency Acquisitions.

b. Adhere to the requirements established in paragraph 2.9

**2.7. DIRECTOR, HUMAN CAPITAL (HC).** The HC Director will:

a. Establish and maintain a telework policy that serves as a management tool in support of COOP and EM operations.

b. Adhere to the requirements established in paragraph 2.9.

**2.8. COMMANDERS/DIRECTORS OF OUs.** The Commanders/Directors of OUs will:

a. Appoint a senior official to serve as the representative to the Agency CWG, CAT, and as the POC for all continuity and EM issues and activities.

b. Establish an OU level CWG and CAT.

c. Identify, prioritize, and report to the COOP and EM PM, OU MEFs and ESAs that support the Agency's MEFs and establish plans to maintain their continuity. Document these plans in an OU COOP plan.

d. Identify and report continuity and EM related resource requirements to the Agency COOP and EM PM.

e. Ensure assigned continuity and EM personnel participate in Agency continuity exercises and complete all mandated continuity and EM training.

f. Identify OU "emergency essential employees," also known as Emergency Relocation Group (ERG), designate in writing, and maintain as personnel change.

g. Ensure subordinate Contract Management Offices (CMOs):

(1) Appoint a senior official to serve as the CMO or Center COOP and EM POC. This individual must have responsibility for advising the Commander/Director on continuity and EM related matters and maintaining liaison with the OU COOP and EM POC.

(2) Develop a COOP Plan. (Streamlined CMO COOP plans may be included as an annex to the Primary CMO's plan.

(3) Identify and report COOP and EM related resource requirements to the OU COOP and EM POC.

- (4) Ensure assigned continuity and EM personnel complete mandated training and participate in exercises.
- (5) Establish plans and processes to ensure COOP Plans are tested at least annually.
- (6) Validate, update, and/or reissue the organization's COOP Plan at least biennially.
- (7) Identify CMO "emergency essential employees," also known as ERG, designate in writing, and maintain as personnel change.

**2.9. DCMA HQ COMPONENTS.** The DCMA HQ Components will:

- a. Appoint a POC to serve as the Component representative to the Agency CWG, CAT, and all continuity and EM issues and activities.
- b. Support HQ COOP planning by developing internal procedures for the transfer/devolution of Component identified MEFs and ESAs.
- c. Identify and report continuity and EM related resource requirements to the Agency COOP and EM PM.
- d. Participate in Agency continuity exercises and complete all mandated continuity and EM training.
- e. Identify Component "emergency essential employees," also known as the ERG, designate in writing, and maintain as personnel change.

**2.10. GENERAL COUNSEL (GC).** GC will provide legal advice, counsel, and representational services to the Director and staff on all legal matters pertaining to continuity and EM activities, operations, and related matters.

## SECTION 3: COOP PLANNING PROCEDURES

### 3.1. CONTINUITY PLANNING PROCESS.

a. Continuity planning is the business practice of ensuring the execution of essential functions through all circumstances, and it is a fundamental responsibility of all U.S. government organizations, to include DCMA. The continuity planning process ensures organizations are prepared to execute their MEFs, ESAs, and continuity capabilities (i.e., leadership, staff, facilities, and communication) under all hazard conditions. It is important that all DCMA organizations incorporate continuity requirements into their daily activities and operations.

b. The continuity-planning construct is established at three levels to ensure consistency in the planning process. The three levels at which continuity planning is performed are:

(1) Strategic Level. The strategic level of continuity program planning and management is performed at the Agency level. At this level, Agency MEFs are identified, prioritized, approved, and disseminated to the various HQ Components, CMOs, and Centers for use in the identification of supporting MEFs and ESAs. Additionally, at this level Agency continuity policy, guidance, training, and tools are established and maintained.

(2) Operational Level. This level of continuity planning and execution is conducted within the HQ Components. At this level, Component-specific MEFs and ESAs that support Agency MEFs are identified and requisite planning is conducted to ensure their continuity under all hazard conditions. Additionally, at this level any functional guidance required by the field is issued.

(3) Tactical Level. This level of continuity planning and execution is conducted within the CMOs and Centers. At this level, organizational-specific MEFs and ESAs that support Agency MEFs are identified and the requisite planning performed to ensure their continuity.

c. Within DCMA, a five-step process is used to conduct continuity planning. This five-step process is adaptable and will meet, if followed, the continuity planning needs of all DCMA organizations. Continuity planning is required at any level of the organization that performs MEFs and ESAs in support of the Agency's MEFs. However, at a minimum, continuity planning must be performed within the following organizations:

- DCMA HQ
- Operational Units (Eastern, Western, Central Regions; International and Special Programs Directorates)
- Primary and Streamlined CMOs
- Centers

(1) Step 1 – Identify Essential Functions. The first step in the overarching continuity planning process is the identification of essential functions (MEFs/ESAs) and continuity capabilities. This step in the process is designed to identify that limited set of organizational-level functions that must be continued throughout, or resumed rapidly after (within 12 hours) a



disruption of normal activities. Within DCMA, MEFs are established only at the Agency level. Components, CMOs, and Centers identify MEFs and ESAs supporting Agency MEFs in this step. There are sub-steps for identifying essential functions or processes at all levels of the organization. Federal Continuity Directive (FCD)-2, Annex B provides detailed guidance on implementing these sub-steps. FCD-2 and an MEF worksheet can be found on the resource page of this Manual. The Agency MA Staff will identify, validate, and review the Agency MEFs every 2 years. The sub-steps are:

- Establish an organization CWG
- Identify organizational functions
- Identify potential essential functions
- Select essential functions
- Prioritize and document essential functions

(2) Step 2 – Conduct a Business Process Analysis (BPA). The second step in the continuity planning process is to conduct a BPA. The BPA is designed to examine, identify, and map the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent in the execution of an MEF, ESA, and continuity capabilities. The Agency MA staff will ensure a comprehensive analysis and documentation of the Agency MEFs. There are sub-steps for conducting a BPA. See FCD-2, Annex C, for detailed guidance on implementing each of these sub-steps. FCD-2 and BPA worksheets and templates can be found on the resource page of this Manual. The sub-steps are:

- Identify essential function output
- Identify input requirements
- Identify leadership and staff who would perform essential functions
- Identify communications and IT requirements
- Identify facility requirements
- Identify and program for resource requirements
- Identify partners and interdependencies
- Document and describe the process flow of essential functions

(3) Step 3 – Conduct a Business Impact Analysis (BIA). The third step in the continuity planning process is to conduct a BIA. The BIA is designed to identify the effects of failing to perform an MEF or ESA. In DoD terms, a BIA can be thought of as a risk analysis and the implementation of risk management decisions relative to the continuity planning process. The Agency MA staff will conduct a formal review, update, and validation of the Agency MEFs through a BIA every 2 years. There are seven sub-steps for conducting a BIA. See FCD-2, Annex D, for detailed guidance on implementing each of the listed sub-steps. FCD-2 and BIA worksheets and templates can be found on the resource page of this Manual. The sub-steps are:

- Define the context
- Identify potential risks
- Assess and analyze risk
- Develop alternatives

- Decide and implement
- Evaluation and monitoring
- Conduct 5-year risk assessment

(4) Step 4 – Develop and Write COOP Plans. The fourth step in the continuity planning process is the development of a formal, organizational-specific COOP Plan using the COOP template located on the resource page of this Manual. This step cannot be completed until the three previous steps are complete and the results approved by the responsible Commander/Director. The COOP plan is designed to document the results of the planning process and results in an actionable plan that will ensure the continuity of identified essential functions regardless of the threat or hazard.

(a) The following organizations must develop, issue, implement, and maintain actionable COOP plans:

1. Agency HQ Components. HQ Components will develop contingency plans specific to their organization's essential functions and supporting activities in support of the Agency COOP plan.

2. Operational Unit HQs.

3. CMOs. Streamlined CMO COOP plans may be included as an annex to the Primary CMO's plan.

4. Centers. Center COOP plans may be included as an annex to the responsible Component's plan or may be published separate.

(b) At minimum, COOP plans will address the four phases of COOP (Readiness and Preparedness, Activation and Relocation, Continuity Operations, and Reconstitution) contained in FCD-1, Annex L and include the following 11 key COOP elements:

- Essential Functions
- Orders of Succession
- Delegation of Authority
- Communication and Information Systems
- Essential Records Management
- Alternate Locations
- Human Resources
- Devolution
- Reconstitution
- Tests, Training, and Exercise (TT&E)
- Pandemic

(c) FCD-1 provides detailed guidance on implementing each of the listed key elements. FCD-1 can be found on the resource page of this Manual. In addition, DCMA organizations must develop and incorporate a Pandemic Influenza annex in their COOP plan.

This annex must address planning and response to a pandemic event. Detailed guidance for Pandemic Influenza planning can be found on the resource page of this Manual. COOP plans must be tailored to the organizational-specific mission, structure, and geographical area. It is recommended that each of the minimum 11 key COOP elements be addressed as a separate annex in the overarching COOP plan. When addressing the requirements, ensure the following considerations are documented in COOP plans:

1. Ensure essential functions (those functions that must be maintained or resumed within 12 hours after an event) are prioritized according to time criticality and provide a recovery sequence for each function. Criticality is measured by the period of time within which essential functions must be resumed after an event, this is referred to as the “recovery time objective” (RTO). The shorter the RTO, the higher the priority should be to resume the function.

2. Establish pre-planned and emergency delegations of authority, orders of succession, and devolutions of authority for continuation of essential functions, to include decision process and authorities for executing continuity plans. Ensure plans address alert and/or notification, movement, and training of continuity staff; and provide orientation and awareness training to non-continuity staff members.

3. Identify primary and alternate relocation sites for use during COOP events ensuring operations can be maintained for up to 30 days or until reconstitution is complete and normal operations resumed. Site selection criteria for relocation sites must consider available information systems and network capabilities, other communication capabilities (telephones, etc.), geographic dispersion, and physical security. Co-location and dual-use facilities should be maximized to the extent possible. Primary and alternate locations must be addressed in COOP plans. See Step 5(b) for additional guidance on listing alternate locations and visited annually to validate capabilities. When conducting relocation planning, ensure mission partners employees are included.

4. Ensure continuity IT requirements (equipment, system, applications, and/or electronic records) along with the organization’s essential function(s) RTO is pre-coordinated with the DCMA-IT. This pre-coordination must include documenting continuity IT requirements on a standard memorandum, signed by the responsible Commander/Director, and submitting the memorandum to the Executive Director, IT. This pre-coordination requirement will assist the IT in adequately planning to meet continuity requirements. On an annual basis, the continuity IT requirements memorandum must be reviewed, validated, or updated, as required.

5. Ensure COOP plans address the identification, storage, and protection of vital records and databases required for use at relocation sites. Pre-positioning and storage procedures must be enduring, survivable, and redundant.

6. Establish a continuity personnel infrastructure to support essential functions. Ensure organizations identify and designate emergency essential employees required to support continuity operations. This designation must be documented in writing annually.

7. Provide for reconstitution capabilities that allow for recovery from an emergency and resumption of normal operations.

8. Integrate personnel, physical, operations, and information security strategies and requirements into COOP Plans to prevent adversaries from impeding continuity operations.

9. To the extent possible, COOP planning should maximize the use of technology to provide information to leadership, staff, customers, and employees to facilitate decisions, maintain situational awareness, and issue orders and direction.

(5) Step 5 – Test, Evaluate and Improve COOP Plans. The fifth and final step in the continuity planning process is to test, evaluate, and improve COOP planning. This is a continual process where COOP plans are tested and exercised to ensure they are actionable. The results of tests and evaluations should be used to improve or enhance COOP plans.

(a) By their very nature, COOP plans contain sensitive operational and personal information. Should this information be compromised, it could prove detrimental to the organization's ability to maintain essential functions. As such, COOP plans must be adequately marked and safeguarded to prevent compromise.

(b) While COOP plans are deemed sensitive in nature, for ease of use every effort should be made to keep the plan at the UNCLASSIFIED//FOR OFFICIAL USE ONLY (FOUO) level. To accomplish this, maintain the following elements of information separate from the COOP plan and protect the information according to its designated sensitivity level:

- Primary or alternate relocation sites
- Listing/identification of vulnerabilities at relocation sites
- TT&E reports that reveal operational and/or communicates security vulnerabilities or weaknesses
- Any other classified materials

d. The DoD Defense Continuity Program (DCP) "Security Classification Guide (SCG)" is the sole policy for determining when information in COOP plans must be classified. When a Commander/Director (after a review of the DCP SCG and in consultation with the Agency COOP PM determines information in a COOP plan requires classification, the information and plan must be appropriately marked, secured, and controlled.

### **3.2. KEY ELEMENTS OF CONTINUITY PLANNING.**

a. **Essential Functions.** Essential Functions refer to those functions an organization must continue in a continuity situation. For planning purposes, the Agency will focus on MEFs and ESAs.

(1) MEFs are those essential functions that must be continued in all circumstances and cannot suffer interruption for more than 12 hours. The Agency MEFs and supporting "Output Tasks" are located on the DCMA-INST 3301 resource page.

(2) ESAs support the execution of MEFs and may include but are not limited to:

- Command and control requirements
- Command decisions and strategic implementation
- Crisis communications including alerts and notifications
- Crisis data storage, retrieval, and security
- General Counsel
- Fiscal and contractual obligations
- Critical support to or from other DoD Components, Agencies, Departments, or branches of government
- Employee pay
- Human Capital and Labor Relations

b. **Identification of Continuity Personnel.** Components with COOP plans must decide on the personnel required to perform the essential functions.

(1) Identify the ERG which consists of those staff members who relocate to alternate locations to perform the essential functions. These personnel will be qualified and have the authority to perform these functions:

(a) Identify the position and systems requirements necessary to perform MEF. Consider including:

- Leadership roles
- Statutory responsibilities
- Experience of available personnel
- Subject matter expertise (SME)
- Security clearance
- Appropriate IT accounts and permissions
- Workload requirements
- Special skills required
- Continuous 24/7 staffing in lieu of normal duty hours requirements

(b) Identify by name the primary and alternate personnel for each position. Ensure that personnel have been informed of those roles and associated responsibilities.

(2) Staffing and selecting the ERG members include, but is not limited to:

(a) Possession of a security clearance commensurate with the requirements for the MEF they will be required to perform along with having the security requirements requisite for specific alternate site(s).

(b) Demonstrated willingness and ability of assigned individuals to relocate to a potentially austere environment for up to a 30-day period.

(c) Appropriate agreements with contractors who are part of a continuity staff that legally bind and define the contractor's responsibilities and level of participation during a continuity event.

(3) COOP plans will include the use of drive-away kits (office and individual). Drive away kits consist of critical office items and records that cannot be pre-positioned at alternate locations.

(4) COOP plans will address family notification and support in the event of a continuity situation.

c. **Orders of Succession.** Continuity planning will include the identification and documentation of orders of succession to ensure appropriate leadership remains intact in the event some leaders become incapacitated. General guidelines on Orders of Succession are:

(1) Identify all succession personnel where possible, ensuring sufficient depth to endure;

(2) Include designated officials assigned to devolution staffs, where applicable;

(3) Use geographically dispersed successors, where feasible;

(4) Describe by positions or titles;

(5) Obtain legal review by the organization's General or Chief Counsel for legal sufficiency, as changes occur; and

(6) Include orders of succession as essential files, with copies accessible and/or available at both the primary and alternate locations.

d. **Delegations of Authority.** COOP Plans will include delegations of authority. These delegations of authority inform officials of what functions they can perform and which functions must be performed by a higher authority. Delegations of Authority, like Orders of Succession, take effect when normal channels of direction are disrupted and terminate when these channels have resumed, particularly in a devolution scenario. Delegations of Authority:

(1) Are included as essential records;

(2) Are written in accordance with applicable statutes and regulations ensuring that the organization's essential functions are performed;

(3) Identify explicitly the authority of an official to re-delegate functions and activities, as appropriate;

(4) Describe the legal limits of and any exceptions to the authority and accountability for delegated officials; and

(5) Define the circumstances, to include a devolution situation if applicable, under which delegations of authorities would take effect and would be terminated.

**e. Alternate Continuity Locations - Transportation and Site Support.**

(1) Transportation. COOP plans will incorporate transportation plans for movement of personnel to alternate locations. COOP plans will describe verified and tested transportation means and directions to all potential alternate locations/facilities.

(2) Site Support. Site support responsibilities include:

(a) Identify at least one alternate location (taking into account established distance criteria when applicable) from the main operating location of the respective DCMA COOP plan.

(b) Provide procedures and resources for maintaining the readiness of alternate locations and options for evacuation and relocation, if necessary.

(c) Give consideration to pre-positioning and maintaining unique equipment required to perform essential functions at alternate locations.

(d) Provide for alert and notification procedures for activation of the alternate site and for all personnel including non-relocation staff.

(e) Identify shelter-in-place options.

(3) Continuity Facilities. Continuity facilities will provide:

(a) Timely occupancy and use to allow continuity operations to begin rapidly on the occasion of a no-warning event.

(b) Operational capabilities for the performance of all MEF Output Tasks within 12 hours of a disruption or continuity event.

(c) The ability to perform essential functions for a minimum of 30 days.

(d) Geographic dispersion of designated essential functions, if possible.

(e) Ability to devolve or transfer some or all of an organization's essential functions directly to an unaffected subordinate unit or mission partner facility staffed and capable of performing essential functions, if required.

(f) Sufficient space, infrastructure, power, and network connectivity to accommodate the ERG and equipment for the performance of essential functions.

(g) Physical security including access, and internal functions commensurate with the performance of essential functions.

(h) Use by a tenant organization, with the host organization of the alternate site, to ensure facility and infrastructure availability and readiness to support tenant continuity requirement, if required.

**f. Continuity Communications and Information Systems.**

(1) Continuity Communications. COOP plans must provide for the access to emergency communications systems for ERG personnel while in transit and at the alternate locations. ERG personnel require Government Emergency Telecommunications Service (GETS) cards for current ERG members and pre-positioned GETS cards for emergency use at the alternate site.

(2) Information Services. DoD's ability to perform MEFs relies on the availability and integrity of mission critical systems. Networks are vulnerable to a spectrum of disruptions ranging from brief power outages due to a local event to a catastrophic loss of IT services due to a cyber-attack. Alternate methods, which are not dependent on internet protocol (IP) based IT systems, should be identified for the performance of essential functions in the case of a degraded cyberspace environment. Planning must also consider the use of alternate networks; e.g., classified network, should an unclassified network become disrupted.

(a) COOP plans will:

1. Identify interoperable and uninterrupted communications and networks (secure/non-secure, voice, data, video, fax) in transit and at alternate locations that must support essential functions and essential records.

2. Identify the resiliency requirements of communications, networks, and the testing of contingency procedures to ensure that essential systems/records at alternate locations are operational to support MEFs within required time frames.

3. Identify testing procedures for IT systems to ensure validation of the COOP plan and comply with existing departmental Computer Network Defense and Cyber policies.

4. Identify the organization's total number of staff, annotating VIPs, teleworkers, and classification levels required for information systems and storage. This information is used for implementation and reconstitution planning purposes.

(b) COOP plans should specify and prioritize the communications and information systems required to perform each MEF. To assist in determining system priority, the following factors should be considered:

1. Maximum Tolerable Downtime (MTD). Time after which loss of the system creates irreversible consequences on the performance of the essential function. Exceeding the MTD results in severe damage to the mission.



2. Recovery Time Objective (RTO). This represents the maximum amount of time that the system will be unavailable before resumption. With respect to length of time, the RTO must be less than the MTD.

3. Recovery Point Objective (RPO). This represents the point in time, prior to the disruption, to which data in the system must be recovered, given the most recent backup, after an outage.

**g. Essential Records Management.**

(1) “Essential records” refers to information systems and applications, electronic and hardcopy documents, references, and records, to include classified or sensitive data, needed to support the Agency MEFs and Output Tasks during a continuity event. The essential records program unifies the overall COOP Plan with a clear authority to include policies, authorities, and procedures.

(2) As soon as possible after activation (but no later than 12 hours), ERG personnel at the alternate site must be able to access essential records using:

(a) A local and wide area network.

(b) Locally stored electronic media and hard copies of essential records.

(c) Supporting information systems and data.

(d) Internal and external email and email archives.

(e) Any other relevant media.

(f) Additionally, ERG personnel should have the ability to log on as “DoD Visitor” at minimum, to gain access to enterprise resources such as the Defense Enterprise Email, Defense Enterprise Portal Service, Defense Collaboration System (DCS), and Intelink.

**h. Human Resources.** COOP plans will address Human Resources Management issues to include pay, leave, work scheduling, benefits, hiring, authorities, and flexibilities. COOP plans will provide information for government, military, and contractor staff to plan and prepare for emergencies and will include procedures to contact and account for personnel in the event of a continuity event. COOP plans will incorporate telework by assessing which essential functions are necessary to be performed on-site and which can be performed using telework (the BIA is useful in making this kind of determination). When using telework as a primary or back-up continuity procedure, DCMA Components must adhere to policy and provide protection of the information and information systems used during telework activities.

**i. TT&E.** COOP plans may be exercised using internal OU level exercises, Agency level exercises, and National level exercises.

- (1) Exercises can be at the table top, functional, or full scale level based on objectives.
- (2) Each fiscal year DCMA Components with COOP plans will exercise deployment of their ERG to an alternate site.
- (3) The DCMA Continuity Coordinator will designate at least one deployment exercise per year.
- (4) After each exercise DCMA Components with COOP plans will prepare an after-action report (AAR) to:
  - (a) Identify Continuity deficiencies (to include a detailed evaluation of all communications systems) and other areas requiring improvement;
  - (b) Assign responsibilities and a timeline for corrective action;
  - (c) As appropriate, identify continuity program resource requirements.

j. **Devolution.** Devolution planning supports overall continuity planning and addresses catastrophic or other disasters that could render a DCMA organization leadership and staff unavailable or incapable of performing essential functions from either its primary or continuity facilities. At a minimum, DCMA Components must plan for the following:

- (1) Identify devolution site outside of the geographical area of the primary location and ensure it has sufficient staff to perform essential functions.
- (2) Identify and map devolution/continuity personnel to the output task needed to perform essential functions at devolution for a catastrophic event.

k. **Reconstitution.** Reconstitution embodies the ability for DCMA organizations to recover from a continuity activation that has disrupted normal operations. In order for DCMA organizations to resume normal operations, DCMA Components are required to conduct the following:

- (1) Assess the status of the affected facility or facilities, personnel, systems, records, and other resources.
- (2) Determine how much time is needed to replace, repair, or otherwise reconstitute facilities, personnel, systems, records, and other resources.
- (3) Supervise facility repairs or other reconstitution efforts, if appropriate.
- (4) Notify decision makers of the status of reconstitution efforts, including estimates of when the repairs will be completed, if appropriate.

(5) Implement a priority-based phased approach to reconstitution.

(6) Periodically provide status updates of reconstitution to Agency Director or his or her representative.

### 3.3. CWG.

a. **CWG.** CWGs serve as the primary forum for the establishment, planning, coordination, implementation, and enhancement of organizational COOP Programs. CWGs must consist of representation from all functions of an organization in order to effectively examine, identify, and map the organization's functional processes, workflows, activities, personnel expertise, systems, data, partnerships, controls, interdependencies, and facilities that support the performance of MEFs, ESAs, and continuity capabilities. When selecting CWG members, management must ensure representatives are thoroughly knowledgeable of the organization's internal operations and business processes and possess the authority to act on behalf of their management. CWGs at each level of the organization are required by this Manual to conduct continuity planning, which includes:

- DCMA HQ
- Components
- Operational Units (Eastern, Western, Central Regions, International and Special Programs Directorate)
- CMOs and Centers

b. **Agency HQ CWG.** The Agency HQ CWG operates at the Agency (strategic) level and is comprised of senior representatives of each HQ Component and other select members designated by the CWG chairperson or COOP PM. The HQ CWG is responsible for the following:

- (1) Identifying and recommending for approval Agency-level MEFs.
- (2) Conducting the BPA and BIA at the Agency-level in accordance FCD 2.
- (3) Coordinating and integrating continuity-related issues across the enterprise.
- (4) Reviewing and approving Agency-level continuity policies, tools, training and plans.
- (5) Participating in COOP training and exercises.

(6) The HQ CWG is chaired by the Agency Continuity Coordinator but led by the COOP PM who is responsible for scheduling, coordinating, and documenting the results of meetings. The HQ CWG meets at least quarterly or as deemed necessary by the chair, COOP PM, or consensus of the group. Regardless of when the CWG meets, the results must be documented on a standard memorandum and forwarded to the Agency Continuity Coordinator for situational awareness.

c. **Component CWGs.** Component CWGs are designed to operate within the functional Components and are comprised of members selected by the responsible Executive Director (or designated representative); however, membership should be cross-functional in nature. Responsibilities of Component CWGs include:

(1) Identifying and recommending for approval component-specific MEFs and ESAs that are deemed critical to ensuring continuity of Agency-level MEFs.

(2) Coordinating and integrating continuity-related issues across the component.

(3) Conducting the component's BPA and BIA.

(4) Overseeing the development of the component's continuity annex to the HQ COOP Plan.

(5) Participating in COOP training and exercises.

(6) Component CWGs are normally chaired by the Executive Director or the component's COOP POC. The COOP POC is also responsible for scheduling, coordinating, leading, and documenting the results of CWG meetings. Component CWGs meet at the discretion of the responsible Executive Director or COOP POC but it is recommended that CWG meetings occur at least quarterly. Regardless of when the CWG meets, the results must be documented on a standard memorandum that is forwarded to the Agency COOP PM for situational awareness.

d. **OU and CMO CWGs.** OU and CMO CWGs are designed to operate within the specific OU or CMO and are comprised of members selected by the responsible Commander/Director (or designated representative); however, membership should be cross-functional in nature. Responsibilities of OU and CMO CWGs include:

(1) Identifying and recommending for approval specific MEFs and ESAs that are deemed critical to ensuring continuity of Agency-level MEFs.

(2) Coordinating and integrating continuity-related issues across the OU or CMO.

(3) Conducting the BPA and BIA at the OU or CMO level.

(4) Overseeing the development and maintenance of the COOP plan.

(5) Participating in COOP training and exercises.

(6) OU or CMO CWGs are normally chaired by the Commander/Director (or designated representative), but led by the organizational COOP POC. The COOP POC is also responsible for scheduling, coordinating, leading, and documenting the results of CWG meetings. CWGs meet at the discretion of the responsible Commander/Director or COOP POC but it is recommended that CWG meetings occur at least quarterly.

### 3.4. TT&E REQUIREMENTS.

a. A comprehensive TT&E Program designed around demonstrating, assessing, and improving DCMA's ability to execute its continuity programs, plans, and procedures is critical to the overall success of the Agency's continuity Program. Effective TT&E Programs must be clearly visible within all respective organizations. Tests are designed to demonstrate continuity capability in the performance of the Agency's MEFs. Periodic testing of COOP plans, or portions thereof, ensures that resources and procedures are maintained in a constant state of readiness and assists leaders in establishing clear goals for the organization's Continuity Program. Training ensures personnel assigned continuity planning and execution responsibilities are prepared to execute their assigned continuity roles and responsibilities when required. Exercises prepare DCMA continuity personnel to respond when emergencies or disasters strike, thereby ensuring the performance of the Agency's MEF. DCMA organizations should develop organizational-unique exercise scenarios based on control factors applicable to their specific area of responsibility. For example, a continental U.S. (CONUS) west coast organization might select a catastrophic earthquake scenario; whereas, a midwest-based organization might elect a tornado-based scenario. A wide spectrum of scenarios should be developed to test COOP plans so as to ensure preparedness, to include telework capabilities. To assist in developing exercise scenarios, a list of 11 COOP scenarios is available on the resource page of this Manual.

b. **TT&E Requirements.** The following are the minimum TT&E requirements for organizations tasked with conducting continuity planning. (See FCD-1, Annex K for detailed guidance on implementing continuity TT&E Programs. FCD-1 can be found on the resource page of this Manual.)

(1) Develop and maintain an organizational-specific continuity TT&E Program. Such a Program must identify the organization's processes and requirements for ensuring training and preparedness of personnel required to support continuation of essential functions. Ensure continuity personnel demonstrate their understanding of and ability to perform their assigned roles and responsibilities through participation in their respective organization's continuity TT&E Program.

(2) Document the results of all TT&E events conducted to include the date of the event, personnel participating, and results.

(3) Utilize an "All Hazards" approach when planning TT&E events to demonstrate viability of COOP Plans and Programs.

(4) Organizations are encouraged to use the Homeland Security Exercise and Evaluation Program (HSEEP) to the extent possible when designing, developing, conducting, and evaluating exercises. For information on HSEEP, refer to the resource page of this Manual.

c. **Training Requirements.** Training requirements listed in Table 1 ensure participants involved in continuity planning and execution have a comprehensive knowledge of COOP. Continuity training can be found on the Federal Emergency Management Agency (FEMA) Web

site or at the Joint Knowledge Online Web site. Table 1 lists the **minimum** training requirements for personnel appointed as the Agency's COOP PM, an Organizational COOP POC, a CWG Member or as an ERG member. Training must be completed prior to assignment of duties or within 6 months of appointment:

**Table 1. Minimum Training Requirements**

Course	Agency COOP PM	Organizational COOP POC	CWG Member	ERG Member
IS-546: COOP Awareness Training	X	X	X	X
IS-547: Intro to COOP	X	X	X	X
IS-100.b: Intro to Incident Command System (ICS)	X			
IS-200.b: Introduction Command System, Single Resources and Initial Actions	X			
IS-700: Introduction to the National Incident Management System	X			
IS-800b: National Response Framework (NRF)	X			

### 3.5. ASSISTANCE AND ASSESSMENT PROGRAMS.

a. The purpose of the DCMA COOP assistance and assessment Program is to enhance continuity program planning and execution by validating conformance with established policy, and identifying and correcting program shortfalls. This is accomplished through formal and recurring reviews of COOP plans and procedures using the DC&MA and the Joint Staff Continuity of Operations Plan Review Matrix derived from DoD guidance contained in DoDI 3020.42, DoDD 3020.26, DoDI 1035.01, DoDI 6200.03, DoDI 6055.17, and DoDI 8500.01.

b. During assessment processes, the individual conducting the assessment may provide technical and training assistance, but the primary focus of the assessment is to evaluate program compliance and effectiveness. In doing so, over multiple years a baseline can be established that demonstrates the extent to which an organization has implemented and improved its COOP plans and procedures (to include all other applicable emergency preparedness functions and activities). During assessments, an audit of all TT&E records will be conducted.

c. Assessment and oversight are critical elements of any DoD Program. Assessments provide a means for evaluating program compliance and effectiveness and the results can be used by Commanders/Directors to improve program performance.

d. Assessment types, responsibilities, frequency and standards. The COOP Assistance and Assessment Program consist of three types of assessment programs: self-assessments, formal assessments, and program reviews. The following provides detail on each:

(1) Self-Assessments. Self-assessments are conducted by the responsible organization and are designed to supplement higher HQ (HHQ) assessment processes. On at least a biennial basis, and 30 days prior to a formal assessment, the responsible COOP POC (or designated representative) will conduct a self-assessment of the organization's COOP plan and program.

(a) Self-assessment must be conducted using the guidance in this Manual and the Continuity of Operations Plan Review Matrix, which can be accessed from the resource page of this Manual.

(b) The results of a self-assessment must be documented using the self-assessment memorandum template located on the resource page of this Manual, briefed to the responsible Commander/Director, and retained on file for a period of 3 years. In addition, a copy of the self-assessment report must be forwarded to the COOP PM for reporting and situational awareness purposes. Self-assessment reports must be used by the organization and the COOP PM to conduct qualitative and quantitative analysis and to identify opportunities for plan/program improvement.

(2) HHQ Assessments. HHQ assessments are conducted by the DCMA COOP PM (or designated representative) and are designed to provide the assessed organization with an external look at continuity program compliance and effectiveness. HHQ assessments are conducted using the guidance in this Manual and the Continuity of Operations Plan Review Matrix, which is available on the resource page of this Manual.

(a) The frequency of HHQ assessments must be established based on a long-range schedule (current and 5 out-years) established by the COOP PM. The COOP PM must ensure a copy of the long-range assessment schedule is posted to the resource page of this Manual and updated annually.

(b) Annually, prior to the end of September, the COOP PM must publish an assessment schedule for the upcoming calendar year that notifies organizations of planned assessments. This notification will ensure appropriate coordination and resolution of any scheduling conflicts.

(c) The results of HHQ assessments must be documented in a formal report by the individual conducting the assessment and submitted to the Deputy Director, PM&BI for approval and signature before dissemination to the responsible Commander/Director. The COOP PM will retain a copy of assessment reports for a period of 3 years from the date the report is signed.

(d) Upon receipt of an approved HHQ assessment report, the responsible COOP POC must establish a corrective action plan (CAP) to address findings identified in the report. A copy of the CAP must be submitted to the COOP PM within 60 days of the date of the assessment report. The CAP will be used to track findings through resolution. CAPs must be developed and maintained using the CAP template, which is available on the resource page of this Manual.

(3) Program Reviews. Program Reviews are designed to evaluate the overall health of the continuity Program. Program Reviews focus on the adequacy and effectiveness of policy,

tools, and training and assesses levels of compliance with established higher-level guidance. As such, self and HHQs assessments reports must serve as a critical contributor to the Program Review process.

(a) Annually, no later than November 30, the COOP PM must conduct a qualitative review of all aspects of the DCMA continuity program. The Program Review must be conducted using the DoD Continuity of Operations Plan Review Matrix derived from standards contained in higher-level guidance. The DCMA continuity program review benchmarks must be established and updated (as necessary) by the COOP PM, and approved by the Deputy Director, PM&BI.

(b) The results of the annual program review must be documented in a formal written report, signed by the COOP PM, and submitted to the Deputy Director, PM&BI. Additionally, the results must be briefed to the HQ CWG for situational awareness and action, as appropriate.

e. Assessment methodology. The HHQs assessment process consists of a three-phased approach that establishes consistency in the assessment process. The COOP PM (or designated representative) is responsible for ensuring all aspects of the assessment process is conducted professionally and all policy requirements are met. The COOP PM and the responsible COOP POC must work together in preparing for the assessment. This includes conducting a detailed and comprehensive assessment and providing realistic recommendations/solutions to correct identified shortcomings. The following are the three phases of the COOP assessment methodology:

(1) Phase I - Visit Preparation. This phase of the COOP assessment process begins at least 60 days prior to the scheduled date of a HHQ assessment. During this phase, the COOP PM must ensure the respective organizational leadership (i.e., Commander/Director) is officially notified of the assessment. Additionally, the COOP PM must coordinate with the responsible COOP POC to ensure any support requirements are identified.

(2) Phase II - Assessment. This phase will begin with an in-brief to the responsible Commander/Director detailing the objectives of the assessment. Upon completion of the brief, the formal assessment will commence. During this phase, the COOP PM (or designated representative) will conduct the assessment using the standards identified in this Manual. The assessment phase concludes with an out-brief to the responsible Commander/Director and COOP POC where the results of the assessment are reviewed.

(3) Phase III - Post Visit. During this phase of the assessment, the COOP PM will prepare a formal report documenting the results of the assessment, to include findings, realistic solutions to address findings, best practices identified, and any areas or personnel where the local continuity program is exceeding established standards. The assessment report will normally be prepared and disseminated to the responsible Commander/Director within 30-working days of completion of the assessment. The COOP POC will use the CAP template (located on the resource page of this Manual) for developing a detailed CAP and timeline, to include short- and long-term goals and objectives, for correcting program shortfalls identified during the assessment.



### 3.6. RECONSTITUTION.

a. Reconstitution procedures will depend directly on the extent of the event and commence once the emergency situation has ended and is unlikely to reoccur. A combination of one or more of the following options may be implemented, depending on the situation:

- (1) Continue to operate from the alternate facility.
- (2) Reconstitute the primary operating facility and begin an orderly return to the facility.
- (3) Begin to establish reconstituted functions in a different facility or at another designated location.

b. COOP plans will include information essential to their reconstitution effort including identification of:

- (1) Facilities, systems, communications, IT, office and conference space, and other capabilities required to perform all essential functions.
- (2) Organizations responsible for providing reconstitution support.
- (3) Vendors and contract vehicles to obtain essential services for reconstitution.
- (4) Personnel and infrastructure affected by the incident, lessons learned, and improvement needs.

### 3.7. DEVOLUTION.

a. **Devolution.** In addition to the COOP plans, devolution planning addresses the full spectrum of threats and all-hazards emergency events that may render an organization's leadership or staff unavailable to support, or incapable of supporting, the execution of the organization's essential functions from either its primary location or its alternate site. Devolution may be incorporated into a COOP Plan as a continuity option or exist as a stand-alone plan, but it is not a stand-alone plan in lieu of a COOP plan. Devolution planning:

- (1) Includes the key elements of continuity.
- (2) Prioritizes the essential functions.
- (3) Includes a roster identifying fully equipped and trained personnel who will operate from the designated devolution site.
- (4) Lists the necessary resources for devolution and those responsible for acquiring them.

(5) Establishes and maintains a capability to restore or reconstitute relevant authorities to their pre-event status upon termination of devolution.

(6) Contains transition procedures for the devolution staff to assume the organization lead for the performance of essential functions.

b. **Activation.** Components may activate the devolution option as a continuity option, as temporary transfer of control during relocation, or as a capability to transfer responsibilities for different essential functions at various sites.

### 3.8. RISK MANAGEMENT.

a. **Risk Management.** COOP is an essential element of the Agency Mission Assurance Risk Management Construct. Mitigation focuses upon planning preventative actions to be taken in response to a warning or after an incident occurs to rapidly restore the essential capability. It includes both asset mitigation planning to return critical assets to operational status, such as prepositioned rapid runway repair material, and contingency planning by mission owners devising alternative methods to continue mission execution, such as transferring assets from other essential capabilities or missions.

b. **Risk Mitigation.** A well-developed COOP plan may include risk mitigation activities such as:

- (1) Alternative procedures that reduce the vulnerability to threats or hazards;
- (2) Additional backup systems and personnel;
- (3) Devolution planning;
- (4) Additional telework flexibility; and
- (5) Additional suppliers.

### 3.9. ADDITIONAL PLANNING CONSIDERATIONS.

a. Continuity planning must be dynamic and iterative. Planners may refer to a detailed checklist located on the COOP resource page. COOP plans must also include the following:

(1) Procedures for an executive decision process that allows for assessment of a threat, or potential threat situation, and the determination of plan activation for response and recovery actions.

(2) The plan must establish procedures to transfer statutory authority and responsibilities from primary operating facility staff and facilities to another designated staff and one or more facilities for the purpose of sustaining essential functions in response to a catastrophic emergency that either renders the CMO/OU providing business capabilities, leadership,

operating staff unavailable, or leaves them incapable of sustaining essential functions from primary facilities.

(3) Procedures to include those positions having authority to activate the Component COOP plan.

(4) Procedures to execute the plan if the Secretary of Defense directs activation of all or specific continuity plans.

(5) An incident management team and/or procedures for providing critical situational information to the senior leaders.

(6) The capability to monitor the condition of their alternate facility on a 24/7 basis, and, at a minimum, must have procedures to remain in contact with the alternate facility.

(7) DCMA Component offices located in government buildings will establish procedures with building security for providing situational awareness to the Component incident management team.

(8) Offices that are located in non-government (leased) space will establish a Memorandum of Agreement/Memorandum of Understanding (MOA/MOU) with the building owner to obtain timely building information (e.g., fire alarms, power outages) and establish procedures for conveying pertinent facility information to the Component incident management team.

(9) The plan must detail the organization's telework policy and implementing procedures in support of the plan.

(10) Procedures for monitoring an approaching pandemic, distributing information to employees, enacting pre-pandemic mitigation strategies, as well as the decision-making process that would lead to activation of the plan.

b. Components in the National Capital Region (NCR) which are affected by Continuity of Government Condition (COGCON) levels will identify relevant COGCON requirements in their COOP plans.

## SECTION 4: EM PROCEDURES

### 4.1. PREPAREDNESS.

a. **Emergency Preparedness.** Emergency Preparedness are the actions taken to plan, organize, equip, train, and exercise to build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of DCMA facilities and assets. The DCMA Emergency Preparedness Program strives to promote emergency preparedness through collaboration, coordination, and progressive preventive and preparatory activities.

b. **Tenant Organization Responsibilities.** DCMA activities that are tenants on military installations will develop their EM all-hazards plan, procedures, annexes, etc., as resources are available, in accordance with guidance provided by their host. At a minimum, Occupant Emergency Plan (OEP) will be developed for buildings occupied by DCMA activities regardless the number of DCMA personnel. If host guidance, formats, and templates are not available, DCMA activities will develop their plan or procedures until such time host guidance, formats, and templates are available. Host Military Installation EM guidance takes precedence over the DCMA EM Manual.

c. **Training.** The DCMA EM education and training program uses Military Service- and DoD Component-developed training curricula and educational materials to validate an appropriate level of competency for commanders, EM POCs, and the workforce. At a minimum, EM-related education and training encompasses:

(1) Senior Leader Orientation. Develop, implement, and provide EM senior leader orientation program. This program provides senior leaders with the requisite knowledge to implement EM Program policies; facilitate oversight of all aspects of subordinate EM and COOP Programs at the strategic and operational levels; and support mitigation, preparedness, prevention, response, and recovery operations conducted at their subordinate commands.

(2) EM POC and Workforce Training. Training must include appropriate DoD Component-directed training requirements including seminars and workshops from the Agency Mission Assurance team.

d. **Exercises.** DCMA organizations will schedule, at a minimum, one Functional Exercise (FE), one Table Top Exercise (TTX), two Mass Warning Notification exercises, and two Shelter-in-Place exercises per year. Mass Warning Notification and/or Shelter-in-Place exercises can be incorporated into the FE. Exercise planners should integrate their Emergency Support Functions (ESF) and functional capabilities, into the exercises (i.e., safety, environmental, facilities, federal occupational health) and the workforce when possible.

(1) Where DCMA is a tenant, DCMA will comply with host requirements. When a host installation plans to execute an exercise that may impact DCMA Operations, the DCMA tenant will notify their Regional EM PM providing the date(s) of the exercise, a description of the exercise (exercise scenario), and anticipated impact on DCMA Operations. DCMA organizations will participate in exercises mandated by HHQ such as DoD COOP exercises and Joint Staff personnel

accountability exercises, including participating in DoD sponsored events, such as National Preparedness Month.

(2) DCMA organizations will institute an AAR and improvement planning process. During an exercise and upon its conclusion, the evaluation team, functional participants, and site leadership will evaluate performance against relevant capabilities, identify deficits, and develop an AAR, including incorporating lessons learned for senior leadership review and updating emergency plans.

(3) DCMA personnel that reside in contractor in-plant facilities must follow the contractors' Emergency Action Plans (EAPs). Commanders/Directors will partner with the hosting facility to protect DCMA employees during all-hazard events.

#### **4.2. INCIDENT RESPONSE.**

a. Mass Notification. DMNS is automated mass warning net-centric emergency notification system that delivers emergency notification through cell and landline phones, email, and pop-ups for emergency notification, recall, and personnel accountability. There must be adequate support at geographically dispersed organizations to ensure timely notification requirements. DMNS will be used to trigger personal accountability and recalls (for example, a furlough).

b. DCMA organizations will execute timely dissemination of alert notifications and warnings of hazards or threats which may affect DCMA military, civilian, and contracted employees. Organizations initiating the alerts that require immediate notification and verification must strive to issue the notification within 2 minutes of an all-hazard incident, but no longer than 10 minutes after an incident occurs.

c. Designated EM POCs must monitor events or potential events requiring emergency notification and will make recommendations to their appropriate chain of command on adverse conditions where employees need to be accounted. Emergency events/conditions requiring mass notification may include terrorist attacks, force protection posture, weather: snow emergencies, severe icing, floods, earthquakes, tornadoes, fires, wild fires, severe thunderstorms, and hurricanes. Other all hazards events include severe air pollution, disruption of power and/or water, interruption of public transportation, and other emergencies.

d. The DCMA Host Organization and Mission Partners POC is responsible for providing EM activities for geographically assigned personnel at host organization assigned location; including personnel accountability for employees during an emergency on-site, evacuation procedures, and drills, COOP planning and emergency notifications procedures (including notification of office delays/closures). This applies where mission partners, detailed, extended temporary duty (TDY) employees or contractor personnel official duty station is not the same geographical location as the employee organization assignment or the supervisor of record. For additional information, refer to the business practice stated within the Agency Mission Partner Guide, found on this Manual's resource page.

e. Tenant Responsibilities. All DCMA facilities that are tenants on military installations (such as DCMA HQs on Fort Lee) must follow the Installation Commander's guidelines for base

closures, early release, and delayed openings due to adverse conditions. DCMA facilities that are tenants in Federal facilities and leased facilities (e.g., Federal and General Services Administration (GSA) buildings) must follow that activity's guidelines for an all hazard incident. The DCMA Director, Deputy Director, International Commander, Special Programs Executive Director, Regional Commanders, and CMO Commanders may approve early releases and delays for DCMA employees apart from the Installation Commander if they deemed the adverse condition jeopardizes the safety of DCMA employees or their operations. When this decision is made, it must not impede or hinder the hosting Commander's guidance.

f. CAT. The purpose of a CAT is to prepare and respond to all-hazards incidents. Additionally, the CAT provides and maintains situational awareness (SA) to Senior Leadership, establish a common operating picture (COP), and establish communications, duties, and responsibilities for supporting the following:

- Situational Reporting via SITREPs
- Alert notifications
- Personal accountability
- COOP
- Defense Industrial Base (DIB) reporting
- Preparing for and responding to all-hazards incidents
- Personnel evacuations
- Critical information systems outages
- Customer engagement
- Evacuations
- Sheltering-in-place
- Lockdown
- Special needs management (for disabled employees)

(1) CAT Composition. CATs may include Senior Leadership, OUs, HQ Directorates, CMOs, and Functional SME as the situation demands. CAT members are designated by their Commander or Director and should have the authority to speak on behalf of their organization.

(2) CAT Teams. For large-scale incidents, all CATs may consist of multiple teams to support 24/7 crisis action operations (i.e., 12-hour rotating or three 8-hour rotating shifts) for up to 30 days as the situation dictates. All CATs must plan for a worst-case scenario, but tailor actual team size/composition to match the appropriate incident response.

(3) CAT Duties. CAT members will provide briefing submissions based on their areas of expertise which will support the Senior Leader Updates. Briefing submissions may include presentations, talking points, whitepapers, or policy memorandums. Briefing submissions will be required as needed to support the established battle rhythm, usually twice daily. Additional requirements include:

- Report as required when a CAT is activated
- Prepare and conduct briefings for Senior Leader Updates

- Evaluate and assess the situation within area of responsibility:
  - Identify impacts to personnel, capabilities, and facilities
  - Identify impacts to MEFs
  - Develop risk mitigation strategies
  - Prepare and report updates
- Participate in daily progress reviews (Hot Wash)
- Develop AARs

(4) CAT Activation. A CAT provides interdepartmental coordination of activities and establishes operational priorities before, during, and after an emergency, crisis, or impending hazard that could impact Agency personnel or MEFs. There are three types of CATs within the Agency:

(a) Agency CAT. An Agency CAT is run by HQs staff and is activated when an event has severe or widespread strategic impact to the Agency. Examples include: weather or man-made incidents affecting multiple regions (large scale hurricanes, wildfires, cyber-attack, etc.), catastrophic events resulting in loss of life or destruction of facilities (terrorist attacks, extreme inclement weather, etc.) and/or events presenting significant risk of Agency reputation (illegal activity, etc.).

(b) OU CAT. An OU CAT is run by the OU staff and is activated when an event occurs uniquely within an OU's geographic area of responsibility and only impacts the mission and/or personnel of that OU.

(c) Functional CAT. A Functional CAT is activated when an incident has significant negative impact on a specific function/capability within the Agency. For example, a significant communication disruption may justify the activation of an IT functional CAT.

(5) CAT Standard Operating Procedures (SOPs). All CATs must have SOPs and should follow the concepts outlined on the Agency CAT Resource Page found on DCMA's Homepage site. OU CATs and Functional CATs will integrate into the Agency CAT at the strategic level when it is deemed necessary by senior leadership or recommended by the Agency Mission Assurance Team.

(6) CAT response levels. There are four response levels that have been identified relative to the magnitude of an emergency. When a decision is made to activate a CAT, CAT members must rapidly assemble, coordinate, integrate interdepartmental functions, and implement strategies that will prevent or lessen the impact of an emergency. Based on the nature, severity, and magnitude of the incident, CATs may tailor their level of response based on the following categories:

(a) Response Cell (NORMAL OPERATIONS). This level is used during natural or man-made disasters, or contingency operations that require minimum CAT staffing requirements are handled at the local level. The CAT members will maintain regular duty hours (0730 to 1630).

(b) Response Team (PROBABLE/WATCH). Used during an initial response to a crisis of unknown scope or origin. A Watch Team (which may be composed of CAT members) establishes increased surveillance as necessary (up to 24/7). Required CAT team members may be on 2-hour recall (24/7).

(c) Modified CAT (PARTIAL RESPONSE). A CAT is activated and positions selectively staffed to perform operations as required up to 24/7.

(d) Full CAT (FULL RESPONSE). A full-scale CAT is activated in response to support a catastrophic incident. The CAT will operate 24/7 and has full staffing.

(7) Emergency Communications. All CATs must develop and maintain emergency communications capabilities with a communications plan within their CAT SOP detailing procedures for communications.

(8) CAT Deactivation. Senior Leadership will deactivate a CAT and restore normal operations.

#### **4.3. PREVENTION AND PROTECTION.**

a. The prevention and protection mission area includes those capabilities necessary to avoid, prevent, or stop a threat, hazard, natural disaster, or actual act of terrorism and protect DCMA personnel and facilities. This is consistent with the National Prevention Framework and the National Protection Framework.

b. A combination of one or more of the following options may be implemented, depending on the situation:

(1) Provide intelligence and information sharing concerning imminent terrorist threats to DCMA facilities and employees. This includes providing Health Threat Surveillance (i.e., medical intelligence) for assessing and/or reassessing emerging health threats, such as a Pandemic Influenza incident.

(2) Screen, search, and detect imminent terrorist threats through active and passive surveillance and search procedures.

(3) Conduct Anti-terrorism/Force Protection operations/FEs.

(4) Increase public awareness of indicators of terrorism and terrorism-related crime; for example, through the “If You See Something, Say Something” public awareness program.

(5) Verify identity to authorize, grant, or deny physical and cyber access to physical and cyber assets, networks, applications, and systems that could be exploited to do harm.



(6) Identify and prioritize assets, systems, networks, and functions that need to be protected.

(7) Implement risk-informed standards to ensure the security, reliability, integrity, and availability of critical information, records, and communication systems and services through collaborative cybersecurity initiatives and efforts.

(8) Develop and implement risk based physical security measures, countermeasures, policies, and procedures.

#### **4.4. MITIGATION.**

a. The mitigation mission area encompasses the capabilities necessary to reduce loss of life and property by lessening the impact of disasters by support protection and prevention activities. This includes building and sustaining a culture of preparedness and more resilient organization.

b. A combination of one or more of the following options may be implemented, depending on the situation:

(1) Identify and assess risks in geographic area and maintain awareness of threats, hazards, and vulnerabilities.

(2) Use of risk assessments to design exercises for response activities and to determine the feasibility of mitigation projects and initiatives.

(3) Contribute to the situational awareness and common operating picture as appropriate, or in the event of a natural disaster, act of terrorism, or other manmade disaster.

(4) Incorporate lessons learned and effective practices from day-to-day operations, exercises, actual incidents, and alerts for improving emergency response plans.

(5) Establish and maintain comprehensive Emergency Preparedness (EP) operations plans and SOPs which detail protective and preventive measures for all hazards in coordination with Antiterrorism plans and Force Protection measures.

#### **4.5. RECOVERY.**

a. Recovery procedures will depend directly on the extent of the event and commence once the emergency situation has ended and is unlikely to reoccur.

b. A combination of one or more of the following options may be implemented, depending on the situation:

(1) Continue to operate from the alternate location.

(2) Reconstitute the primary operating facility and begin an orderly return to the facility.

(3) Begin to establish reconstituted functions in a different facility or at another designated location.

c. Identify recovery priorities considering the following:

(1) Facilities, systems, communications, IT, office and conference space, and other capabilities required to perform all essential functions.

(2) Organizations responsible for providing recovery support.

(3) Vendors and contract vehicles to obtain essential services for recovery.

(4) Personnel and infrastructure affected by the incident and lessons learned and improvement needs.

## GLOSSARY

**G.1. DEFINITIONS.** Unless otherwise noted, these terms and their definitions are for the purpose of this Manual.

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

**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.

- Natural Hazards: Floods, Tornadoes, Hurricanes, Thunderstorms and Lightning, Winter Storms and Extreme Cold, Extreme Heat, Earthquakes, Volcanoes, Landslides and Debris Flow (Mudslide), Tsunamis, and Wildfires
- Technological Hazards: Hazardous Material Incidents and Nuclear Power Plants
- Terrorism: Explosions, Biological Threats, Chemical Threats, Nuclear Blast, and Radiological Dispersion Device (otherwise known as a “dirty bomb”)
- Health Disaster: Pandemic/Epidemic

**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 from home (teleworking), telecommuting, and mobile-office concepts.

**BIA.** A method of identifying the effects of failing to perform a function or requirement.

**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.

**CAP.** An organized method to document and track improvement actions for a Program.

**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 MEF.

**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 COOP and continuity of government (COG) programs and continuity

requirements that have been integrated into the organization's daily goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions (NEF) 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 Personnel.** Personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations. Continuity personnel are referred to as ERG members.

**COOP.** An effort within individual agencies to ensure the performance of MEFs during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

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

**Delegation of Authority.** Identification, by position, of the authorities for making policy determinations and decisions at HQ, 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.

**Devolution Site.** Devolution sites are locations used to carry out essential functions by devolving the essential function to a geographically separated facility and staff (the Devolution Emergency Relocation Group (DERG)) following activation of the devolution plan. These sites refer to not only other facilities, but also work arrangement such as telework and mobile work concepts.

**EM.** An ongoing process to prevent, mitigate, prepare for, respond to, maintain continuity during, and recover from an incident that threatens life, property, operations, or the environment. The focus is on emergencies affecting Agency personnel and facilities, and maintaining the ability of the Agency to perform its missions.

**Emergency Operating Records.** Records that support the execution of an Agency's essential functions.

**ERG.** Pre-designated staff who moves 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 site, as required, to perform essential functions or other tasks related to continuity of operations.

**Essential Functions.** The critical activities performed by organizations, especially after a disruption of normal activities.

**ESA.** ESAs are the many activities that must be performed in order to support a department or Agency's (D/A) performance of its MEFs. Typically, ESAs are common to most agencies (paying staff, providing a secure workplace, ensuring computer systems are operating, etc.), but do not accomplish the D/A's mission. ESAs are facilitating activities that enable the organization to perform MEFs; they are important and urgent, but accomplishing the ESA does not complete the mission or deliver the services the D/A was created to accomplish.

**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.

**Key Emergency Essential Personnel.** Personnel who may be required to remain in place in order to perform the Agency's MEF for all-hazard events. This requirement must be identified in the individual's official position description (PD).

**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.

**MEF.** The limited set of organization-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

**MOA/MOU.** Written agreements between D/As that require specific goods or services to be furnished or tasks to be accomplished by one Agency in support of the other.

**NEF.** NEFs are the foundation for all continuity programs and capabilities and represent the overarching responsibilities of the Federal government to lead and sustain the Nation during a crisis. Therefore, sustaining the following NEFs must be the primary focus of the Federal government leadership during and in the aftermath of an emergency that adversely affects the performance of government functions:

- Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government
- Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people
- Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests
- Maintaining and fostering effective relationships with foreign nations

- Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests
- Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident
- Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems
- Providing for critical Federal government services that address the national health, safety, and welfare needs of the United States

**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.

**NRF.** A guide for conducting comprehensive, national, all-hazards incident management. The NRF incorporates public and private sector participation at all levels, from Federal agencies to the State and community level, and emphasizes the importance of personal preparedness by individuals and their families.

**OEP.** A short-term emergency response Program that establishes procedures for safeguarding lives and property.

**OU.** A term by which to reference DCMA Regional Commands (Eastern, Western, Central Regions; and International and Special Programs Directorates).

**Orders of Succession.** Provisions for the assumption of senior Agency offices 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.

**Policy.** A set of principles and associated guidelines to direct and limit DCMA actions in pursuit of objectives, operations, and plans. Establishes Agency-wide rules. Describes the "what," "who," and "why" of operations by defining roles and responsibilities.

**Procedures.** A set of mandatory step-by-step instructions established to implement Agency policy. It describes the process that must be followed to achieve the desired outcome.

**Program.** A group of related initiatives managed in a coordinated way, 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.

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

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

**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.

**RTO.** RTO is the maximum number of hours for which it is acceptable that a MEF can be interrupted following a continuity event, before it must be restored to an acceptable level of operation.

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

**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 event.

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

**G.2. ACRONYMS.**

AAR	after-action report
AQ	Contracts Directorate
BIA	business impact analysis
BPA	business process analysis
CAP	corrective action plan
CAT	crisis action team
CMO	contract management office
COGCON	Continuity of Government Condition
COOP	continuity of operations
CWG	continuity working group
D/A	department/agency
DC&MA	Defense Continuity and Mission Assurance
DCMA-INST	DCMA Instruction
DMNS	DCMA Mass Notification System
DCP	Defense Continuity Program
DoDD	DoD Directive
DoDI	DoD Instruction
EM	emergency management
ERG	emergency relocation group
ESA	essential supporting activities
FB	Financial and Business Operations Directorate
FCD	Federal Continuity Directive
FE	Functional exercise
GC	General Counsel
GETS	Government Emergency Telecommunications Service
HC	Human Capital
HHQ	higher headquarters
HQ	headquarters
HSEEP	Homeland Security Exercise Evaluation Program
IT	Information Technology
MA	Mission Assurance
MEF	mission essential function
MOA	memorandum of agreement
MOU	memorandum of understanding
MTD	Maximum Tolerable Downtime



NEF	National Essential Functions
NRF	National Response Framework
OEP	Occupant Emergency Plan
OU	operational units
PM	program manager
PM&BI	Portfolio Management and Business Integration Directorate
POC	point of contact
RTO	recovery time objective
SCG	Security Classification Guide
SME	subject matter expert
SOP	standard operating procedures
TT&E	test, train, and exercise

## REFERENCES

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