

NATIONAL WEATHER SERVICE INSTRUCTION 10-2202

December 31, 2008

Operations and Services

Readiness 10-22

CONTINUITY OF OPERATIONS

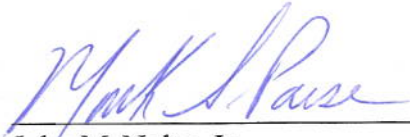
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OPR: W/OPS1 (A.Mongeon)

Certified by: W/OPS1 (M. Paese)

Type of Issuance: Routine

SUMMARY OF REVISIONS: This directive supersedes NWSI 10-2202, September 5, 2006. Major revisions are: (1) Section 1 has been rewritten to more clearly define responsibilities of offices and responsibilities of offices toward National Essential Functions and Primary Essential Functions; (2) Section 2, Authorities are updated to reflect recent additions, deletions, and changes; reference to Federal Continuity Directive 1 and 2 are added and directives superseded are removed; (3) requirement to develop initial plans and forward copies to NWS headquarters has been removed; (4) requirement to cite PII in the Notice of Confidentiality is added to Section 4; (5) a requirement to define National Essential Functions and Primary Mission Essential Functions is added to Section 4.2; (6) a cross-reference to the requirement to maintain a record of financial activity during COOP is added; (7) Definitions for COOP and Continuity of Government were updated and a definition for Enduring Constitutional Government has been added; the definition for Alternate Facility has been changed to Alternate Operating Facility (AOF) to reflect new national guidance; a definition for National Essential Functions has been added and the functions enumerated; a definition for Primary Mission Essential Function has been added; (8) a requirement to define Fly Away Kit in a COOP Plan has been added to Appendix B; and, (9) wording in all sections has been cleaned up.


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Date Dec 17, 2008

Continuity of Operations

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1 Purpose.

Effective continuity planning and programs facilitate the performance of essential functions during all hazards emergencies or other situations that may disrupt normal operations.¹ This directive provides direction to all National Weather Service (NWS) Headquarters Financial Management Centers, Regional Headquarters, the National Centers for Environmental Prediction Center, and their subordinate units for developing, implementing, and maintaining Continuity of Operations (COOP) Plans.

COOP Planning involves a coordinated effort enabling NWS to maintain its National Essential Functions (NEFs) and Primary Mission Essential Functions (PMEFs), ensuring a high level of readiness, and a capability to implement, with or without warning, operation at an Alternate Operating Facility (AOF) and restoration of services based on national time-line requirements and priorities. COOP is an integral part of Continuity of Government (COG) and Enduring Constitutional Government (ECG).

National Weather Service (NWS) offices will continue to perform their National Essential Functions and Primary Essential Functions under all conditions. While the impact of a particular emergency cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on the public, NWS employees, facilities, and mission.

2 Authorities

These references direct that NOAA NWS develop and maintain a COOP capability.

- a. 15 U.S.C. 313, *Weather Service Organic Act*
- b. 36 CFR Part 1236, *Management of Vital Records*
- c. 41 CFR 102-71.20 & 41 CFR 102-74.230 *et seq*, *Occupant Emergency Program*
- d. Executive Order (EO) 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, April 3, 1984
- e. EO 12656, *Assignment of Emergency Preparedness Responsibilities*, November 18, 1988 as amended
- f. EO 13231, *Critical Infrastructure in the Information Age*, October 16, 2001
- g. National Presidential Directive/NSPD 51/Homeland Security Presidential Directive/HSPD 20, *National Continuity Policy*, May 4, 2007
- h. Presidential Decision Directive (PDD) 39, *Counter-Terrorism*, July 21, 1995
- i. PDD - 62, *Combating Terrorism*

¹Federal Continuity Directive 1, February 2008, section 1.

- j. Homeland Security Presidential Directive (HSPD) – 3, *Homeland Security Advisory System*, March 11, 2002
- k. HSPD – 5, Management of Domestic Incident, February 28, 2003
- l. HSPD – 7, Critical Infrastructure Identification, Prioritization, and Protection, December 17, 2003
- m. HSPD – 8, *National Preparedness*, December 17, 2003
- n. Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch Continuity Program and Requirements*, Feb 2008
- o. FCD 2, *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, Feb 2008
- p. Federal Information Security Management Act of January 2002, 44 U.S.C. 3544(b)(8)
- q. Office of Management and Budget, Circular A-130, Appendix III, *Security of Federal Automated Information Resources*
- r. National Institute of Technology (NIST), Special Publication 800-34, *Contingency Planning for Information Technology Systems*
- s. National Weather Service Instruction 10-104, *Preparations in Advance of or During, Disasters or Major Weather Emergencies*, May 23, 2008

3 Procedures.

This instruction applies to all National Weather Service Financial Management Centers, Regional Headquarters, the National Centers for Environmental Prediction and their subordinate units (hereafter offices). All offices will develop, implement, and maintain a COOP Plan.

4 Continuity of Operations Plans.

4.1 Notice of Confidentiality

- a. All COOP Plans will be designated as **For Official Use Only** and given appropriate protections.
- b. All COOP Plans containing Protected Personally Identifiable Information (PII) will be stored and communicated via accepted PII controls as directed by Department of Commerce, NOAA, and NWS policies, directives, and orders.
- c. All COOP Plans will include the following Notice Of Confidentiality:

“Information contained in this Continuity of Operations Plan (COOP) is **FOR OFFICIAL USE ONLY**. Portions of this plan may contain information raising privacy or other considerations, which may be exempt from mandatory disclosure under the Freedom of Information Act. The information contained herein is to be used by personnel with an official “Need to Know” based on their responsibilities relative to this COOP activities. Some of the information in this plan, if made public, could endanger the lives and privacy of associates. In addition, the disclosure of

information in this plan could compromise the security of essential equipment, services, and systems of the National Weather Service, or otherwise impact NWS' ability to perform its critical functions, as well as disclose protected Personally Identifiable Information (PII). Unauthorized use of this information may constitute an invasion of privacy and a violation of law.”

4.2 Plan Requirements

Appendix B provides a sample format for use in developing COOP Plans. COOP Plans will:

- a. Define NEFs, PMEFs, and activities being performed or supported;
- b. Establish a decision process for determining actions requiring activation of COOP Plans;
- c. Contain a roster of fully trained personnel with the authority to perform essential functions and activities;
- d. Contain procedures for employee advisories, alerts, and implementation of COOP procedures with instructions for relocation to pre-designated facilities with and without warning, during duty and non-duty hours (Fan Out List, Emergency Alert Trees, telephone trees, etc.);
- e. Require maintenance of operational logs and detailed records of financial activity during COOP operations (ref. NWSI 10-104);
- f. Provide for personnel accountability throughout the duration of the emergency;
- g. Provide for attaining operational capability within 12-hours of Plan activation;
- h. Establish reliable processes and procedures to acquire resources necessary to sustain operations for at least 30 days.
- i. Contain a plan for Succession and Delegations of Authority;
- j. Contain a list of alternate operating facilities (AOF), including directions, points of contact, and telephone numbers;
- k. Identify AOF security instructions;
- l. For each AOF, include a list of essential services in the immediate vicinity, e.g., hospitals and critical care facilities, eating establishments, hotels and motels, etc.
- m. Contain a list of vital records, as well as their location and instructions for accessing and recovering;
- n. Contain a list of interoperable communications (e.g. telephone, facsimile, cell and/or satellite telephones) and instructions for contacting each;
- o. Require regular COOP training, testing, and exercising.

5 COOP Plan Review and Exercising.

5.1 Plan Review.

COOP Plans will be reviewed at least annually, not later than December 31, and when the person in charge of the organization is replaced. The review will be documented with a memorandum for the record (MFR). Copies of the MFR will be provided to next higher authority (e.g. for a WFO or RFC, the Region Headquarters, for a Specialized Center, NCEP) not later than 30 calendar days following a review.

5.2 Training, Testing, and Exercise.

A comprehensive test, training, and exercise (TT&E) program is necessary to prepare, validate, and familiarize leadership and staff an organization's COOP Plan. Training and exercises also provide leadership and staff with the skills to perform their assigned duties when executing COOP Plans. All agencies must plan, conduct, and document periodic TT&E's to prepare for all-hazards continuity emergencies and disasters.²

All offices will conduct a full exercise of their COOP Plan, including activation of the AOF for not less than eight hours, at least annually. A report of the results of the exercise will be produced (e.g. scenario, functions activated, alternate site) and will be forwarded to the next higher headquarters no later than January 30 of each year. Each Regional Headquarters and the National Centers for Environmental Prediction will provide a summary of their subordinate unit activities to the Homeland Security Activities Director not later than January 31.

5.3 Reporting.

Each Regional Headquarters and the National Centers for Environmental Prediction will maintain a copy of all subordinate units' COOP Plans. The NWS Homeland Security Activities Director will maintain a copy of NWS Headquarters COOP Plan.

²FCD 1 section 9h.

APPENDIX A - Definitions.

- 1 Alternate Database/Records Access.** The safekeeping of vital resources, facilities, and records, and the ability to access such resources in the event that the COOP plan is put into effect.
- 2 Alternate Operations Facilities (AOF).** An alternate work site that provides the capability to perform minimum essential department or agency functions until normal operations can be resumed.
- 3 Continuity of Government (COG).** A coordinated effort within each branch of Government (e.g. the Federal Government's Executive Branch) that NEFs continue to be performed during a catastrophic emergency
- 4 Continuity of Operations (COOP).** An internal effort within individual organizations (i.e. components of the Executive, Legislative and Judicial branches of government) to ensure that MEFs and PMEFs continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.
- 5 Designated Official.** The highest-ranking official of an agency or a designee selected by mutual agreement of agency officials.
- 6 Emergency.** A sudden, usually unexpected event that does or could do harm to people, resources, property, or the environment. Emergencies can range from localized events that affect a single office in a building, to human, natural, technological events that damage, or threaten to damage, local operations. The emergency could cause the temporary evacuation of personnel or the permanent displacement of personnel and equipment from the site to a new operating location environment.
- 7 Enduring Constitutional Government (ECG).** A cooperative effort among the legislative, executive, and judicial branches of the Federal Government, coordinated by the President, as a matter of comity with respect to the legislative and judicial branches and with proper respect for the constitutional separation of powers among the branches, to preserve the constitutional framework under which the Nation is governed and the capability of all three branches of government to execute their constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, interoperability, and support of NEFs during a catastrophic emergency.
- 8 Essential Operations.** Those operations stated or implied, that are required to be filled by statute or Executive Order, or other operations deemed essential by the heads of principal organizational elements.
- 9 Essential Positions.** Those positions stated or implied, that are required to be performed

by statute, Executive Order or other positions deemed essential by the heads of principal organizational elements.

10 Hot Wash. An information activity that takes place after disaster response or an exercise simulating a disaster. Its purpose is to identify problems and possible solutions for improving future responses. Observation and recommendations are used to develop "Lesson-Learned Report".

11 Interoperable Communications. Alternate communications that provide the capability to perform minimum essential department or agency functions, in conjunction with other agencies, until normal operations can be resumed.

12 Management Plan. An operational guide that ensures the implementation, maintenance, and continued viability of the COOP.

13 National Essential Functions. The eight functions the President and National leadership will focus on to lead and sustain the nation during a catastrophic emergency. These functions are:

- a. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government;
- b. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;
- c. 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;
- d. Maintaining and fostering effective relationships with foreign nations;
- e. 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;
- f. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;
- g. Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems; and
- h. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.

14 Plan Maintenance. Steps taken to ensure the plan is reviewed annually and updated whenever major changes occur.

15 Primary Facility. The site of normal, day-to-day operations; the location where the employee usually goes to work.

16 Primary Mission Essential Functions. Those department and agency Mission Essential Functions, validated by the NCC, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or

resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

17 Training and Exercise. This activity includes: 1) efforts to educate/advise designated staff on COOP responsibilities, and on the existing plans; and, 2) tests to demonstrate the viability and interoperability of all plans supporting COOP requirement.

18 Vital Records & Systems. Hard copy or electronic records necessary to maintain continuity of operations during an emergency to recover full operations following an emergency, and to protect the legal rights and interests of citizens and the U.S. Government. The two basic categories of vital records are emergency operating records, and legal and financial records.

- a. **Emergency Operating Records.** Records vital to the essential functions of the Federal Government for the duration of an emergency. Such records include emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, and related policy or procedural records. These records assist the Homeland Security Program Office in conducting operations during emergency conditions and resuming normal operations after the emergency. They must be available at relocation sites or readily accessible electronically.
- b. **Legal and Financial Records.** Records required for the preservation of the legal rights and interests of individual citizens and the Federal Government. These records require protection but need not be placed at or in the vicinity of relocation sites since the records would not be needed immediately. Designated and approved alternate site locations and/or Federal Records Centers may be used for dispersal storage. Examples of these records are those containing proof of ownership, financial interest (e.g., payroll, leave, social security, and retirement, insurance), legal proceeding decisions, and research (e.g., data, programs).

APPENDIX B - Sample Contents of Continuity of Operations Plan

1. Notice of Confidentiality

Introduction

- a. Purpose
- b. Policy
- c. Authorities
- d. Application and scope

COOP Activation

- a. When is COOP activated
- b. How is COOP activated
- c. Communication plan
 - i. Organizational notification procedures to include who calls whom, alternate methods of contact (cell, satellite, etc)
 - ii. Notifying higher headquarters
 - (1) When
 - (2) How
- d. Vital Records
- e. Orders of succession
- f. Delegations of authority

Alternate sites

- a. Point(s) of contact
- b. Activating alternate sites
- c. Driving directions to alternate sites
- d. Communication information (telephone, facsimile phone number)

Restoration

- a. Roles and responsibilities
- b. Points of contact

Exercise program and schedule

Fly-away kit