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# POLICY STATEMENT

Policy Statement 5803

Policy Area: Security

Effective Date: JUN 15, 2011

Approved:

Adrienne Poteat, Deputy Director

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## CONTINUITY OF OPERATIONS

### I. COVERAGE

This Policy Statement applies to all Court Services and Offender Supervision Agency (“CSOSA” or “Agency”) staff. CSOSA staff includes employees and contractors under the direction of the Office of the Director (OD) and employees and contractors under the direction of Community Supervision Services (CSS). This Policy does not apply to the Pretrial Services Agency.

### II. BACKGROUND

As a federal executive branch agency, CSOSA is required to maintain a comprehensive and effective continuity capability program to ensure the continued performance of its Mission Essential Function (MEF) of offender supervision throughout a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies. This requirement is promulgated through Federal Continuity Directive 1 (FCD-1), *Federal Executive Branch National Continuity Program and Requirements*, dated February 2008.

This Policy Statement correlates with many other emergency-related documents, including, but not limited to: the Pretrial Services Agency Continuity of Operations Plan; the District of Columbia Response Plan, Administration of Criminal Justice Annex; the Continuity of Operations Framework for the District of Columbia Criminal Justice System; and the CSOSA Emergency Operations and Hazardous Weather Policy.

In accordance with the Federal Continuity Directive, CSOSA’s Continuity of Operations Plan (Continuity Plan) was developed to implement the procedures and requirements outlined in this Policy.

All CSOSA employees must be aware of this policy and its associated Continuity of Operations Plan, and know their role and responsibilities during any type of emergency.

### III. POLICY

It is the policy of CSOSA to maintain an effective and viable Continuity of Operations Program (Continuity Program) that will ensure the continuation of its MEF under all conditions. CSOSA’s Continuity Program will be compliant with all federal requirements

and will be integrated, to the maximum extent possible with CSOSA's federal, local and non-governmental partners' continuity plans.

The Pretrial Services Agency (PSA) is an independent entity within CSOSA and will maintain a Continuity Program which is separate from the CSOSA Continuity Program and will include references to the CSOSA Continuity Plan, where appropriate. CSOSA and PSA will work in coordination in all continuity activities to ensure a seamless response to federal and local requirements.

CSOSA's offender supervision function is its only MEF. The overarching goal of the Continuity Program is to ensure that CSOSA is capable of continuing its MEF under any emergency regardless of location, adequacy of warning, or time of day. Additionally, CSOSA's emergency staff will be able to achieve operational status within 12 hours after activation of the Continuity Plan and to sustain continuous operations from alternate locations for at least 30 days.

Communications and technology are essential pillars of a viable continuity program. To that end, CSOSA shall maintain communications and technology systems that are interoperable, robust and reliable. CSOSA's technology systems shall be supported by contingency plans and programs that are planned, documented and tested.

CSOSA's Continuity Program will be continually reviewed and improved based on the outcome of exercises, real emergency experiences, the integration of local criminal justice interdependencies, and the adoption of best practices. The CSOSA Continuity of Operations Manager (Continuity Manager), from the Office of Security, will annually review and update the Continuity Plan. The CSOSA Continuity Coordinator (Associate Director, Management and Administration) and the CSOSA Continuity Manager will work jointly to ensure the Agency's Continuity Program is developed, maintained and implemented, to include annual training, testing and exercises.

#### **IV. AUTHORITIES, SUPERSEDURES, REFERENCES, AND ATTACHMENTS**

##### **A. Authorities.**

1. National Security Presidential Directive 51/Homeland Security Presidential Directive 20, National Continuity Policy, May 4, 2007.
2. National Continuity Policy Implementation Plan, August 2007.
3. Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements, February 2008.
4. Federal Continuity Directive 2, Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process, February 2008.

5. National Communications System (NCS) Directive 3-10, Minimum Requirements for Continuity Communications Capabilities, July 25, 2007.

B. Policy Supersedures.

None

C. Procedural and Other References.

1. CSOSA Emergency Operations and Hazardous Weather Policy
2. 36 C.F.R Part 1236, Management of Vital Records, July 1, 2001
3. 41 C.F.R. § 101-20.103-4, Occupant Emergency Program, July 1, 2000
4. 28 C.F.R. Chapter VIII, Court Services and Offender Supervision Agency for the District of Columbia.
5. Homeland Security Presidential Directive 3, Homeland Security Advisory System (HSAS), March 11, 2002.
6. Information Technology and Telecommunications Guidelines for Federal Telework and Other Alternative Workplace Arrangement Programs, General Services Administration, Federal Register/Vol. 72, No. 41 / Friday, March 2, 2007, FMR Bulletin 2007–B1.
7. National Institute of Standards and Technology (NIST), Contingency Planning Guide for Federal Information Systems (Special Publication 800-34 rev. 1, May 2010)
8. National Institute of Standards and Technology (NIST), Recommended Security Controls for Federal Information Systems (Special Publication 800-53 rev. 2, December 2007)
9. Pretrial Services Agency Continuity of Operations Plan
10. District of Columbia Response Plan Administration of Criminal Justice Annex
11. Continuity of Operations Framework for the District of Columbia Criminal Justice System
12. Human Resources Directive 610.6 Telecommuting Program

D. Attachments.

Appendix A - Responsibilities

Appendix B - Reporting

## **APPENDIX A**

### **RESPONSIBILITIES**

#### **A. Associate Director, Management and Administration (M&A)**

The Associate Director, M&A is designated as the CSOSA Continuity Coordinator and will:

1. Ensure CSOSA has an effective Continuity Program, capable of sustaining the MEF of offender supervision.
2. Keep the CSOSA Director apprised of the Continuity Program status.
3. Ensure the CSOSA Continuity Program is in compliance with Federal directives.
4. Periodically meet with the CSOSA executives, Continuity Manager and CSOSA Continuity Working Groups to discuss issues and further the development of the Continuity Program.
5. Represent CSOSA at Continuity Advisory Group (CAG) meetings, or designate a representative to attend.
6. After proper vetting of the Continuity Plan, approve all major revisions and re-issue the annual update.

#### **B. Director, Office of Security**

1. Act as either the CSOSA Continuity Coordinator or Continuity Manager if either is unavailable during routine or emergency situations.
2. Oversee the development, conduct, and evaluation of CSOSA's continuity-related plans, tests, training, and exercises.
3. Assigns the role and has oversight responsibility of the Continuity Manager.
4. Meet weekly with the Continuity Manager to ensure:
  - a. Program objectives are being met;
  - b. Tasking is consistent with the Continuity Coordinator's priorities;
  - c. The Continuity Manager has the resources necessary to accomplish the responsibilities outlined in Section C, below, and that those responsibilities are being fulfilled; and
  - d. Ensure that mandated continuity reports and notifications are prepared and routed to requesting entities (White House, FEMA, etc.). Note: The Continuity Coordinator shall be the final reviewer and signatory on most documents.
5. Provide performance reports in support of the Agency's Strategic Plan.

### **C. Continuity Manager**

1. Execute the requirements of the CSOSA Continuity Policy and Plan.
2. Maintain and update the Continuity Plan which includes the Continuity Improvement Plan.
3. Provide support to the Continuity Coordinator as needed during an emergency.
4. Ensure the Continuity Coordinator is apprised of the Continuity Program status.
5. Represent CSOSA at Continuity Advisory Group (CAG) meetings, if requested by the Continuity Coordinator.
6. Ensure major plan changes are vetted through the executive staff and approved by the Continuity Coordinator.
7. Lead CSOSA continuity working groups.
8. Provide alerts to the executive staff on threats that may impact CSOSA employees, such as hazardous travel conditions.
9. Stay informed of potential threats and their best-practice mitigation and response actions.
10. Stay informed of CSOSA's strategies, operations, and priorities.
11. Work closely with Office of Facilities to ensure a seamless interface between continuity and Occupant Emergency Plan related emergency planning and response.
12. Work closely with the Office of Information Technology to ensure critical strategies for systems, communications, contingency plans, and disaster recovery are adequately addressed in the Continuity Plan.
13. Ensure all required continuity reports are submitted.
14. Ensure CSOSA's emergency staff members are identified and trained.
15. Develop and deliver Continuity of Operations related training to the Agency through:
  - a. New Employee Classes;
  - b. Continuity Awareness Course;
  - c. Emergency Staff Course;
  - d. National Preparedness Month activities; and
  - e. Exercises and Table Tops.
16. Cooperate and collaborate as necessary with:
  - a. Pretrial Services Agency and local Federal Criminal Justice Agencies;
  - b. Federal Emergency Management Agency;

- c. DC Homeland Security and Emergency Management Agency (DC HSEMA); and
  - d. Emergency response organizations.
17. Learn the latest emergency management technologies, procedures, and practices for potential use within CSOSA.
18. Be active in and regularly attend meetings of:
- a. FEMA's Interagency Continuity Working Group;
  - b. District's Criminal Justice Coordinating Council's Continuity Working Group;
  - c. Small Agency Council's Continuity Subcommittee; and
  - d. Emergency Management Subcommittee of FEMA's Joint Federal Committee.

**D. Associate Director, Office of Information Technology (OIT)**

1. Ensure CSOSA is in compliance with the Continuity Communications Annex (Annex H) of the Federal Continuity Directive 1; National Institute of Standards and Technology (NIST), Contingency Planning Guide for Federal Information Systems (Special Publication 800-34 rev. 1, May 2010); and NIST, Recommended Security Controls for Federal Information Systems (Special Publication 800-53 rev. 2, December 2007).
2. Semi-annually review and update the Emergency Communications Annex (Annex G) of the Continuity Plan.
3. Ensure the OIT staff works closely with the CSOSA Continuity Manager to ensure critical strategies for systems, communications, contingency plans, and disaster recovery are adequately addressed in the Continuity Plan.
4. During a continuity event, provide a daily internet technology/communications operating status update to the CSOSA Director.
5. Oversee the capabilities and readiness of the IT Disaster Recover site.
6. Comply with additional continuity communications responsibilities listed in the Emergency Communications section of the Continuity Plan.

**E. Associate Directors and Equivalent will comply with all items in Section F, below, plus:**

1. Appoint a Continuity Point of Contact, who will be the Associate Director's representative to the CSOSA Continuity Working Group.
2. As applicable, appoint office component representatives to organizations such as the Damage Assessment Team, Reconstitution Team, Mobile Supervision Teams, and any other permanent or temporary organizations that may be established.
3. Ensure the following documents are kept updated with organizational information:
  - a. Continuity Plan Annex C (Essential Functions)

- b. Continuity Plan Annex D (Orders of Succession)
- c. Continuity Plan Annex E (Delegations of Authority)
- d. Continuity Plan Annex H (Vital Records)
- e. Office Component Emergency Plan

#### **F. All CSOSA Managers and Supervisors**

1. Read and ensure their organization is in compliance with the:
  - a. CSOSA Continuity Policy and Plan,
  - b. CSOSA Emergency Operations and Hazardous Weather Policy,
  - c. Applicable building-specific Occupant Emergency Plans (OEP)
2. Ensure the Continuity Plan Annex B (Emergency Staff) is kept updated with organizational information.
3. Incorporate tenets of the Continuity Plan into routine operations such as statements of work, contracts, employee cross training, performance evaluations (where appropriate), partner Memorandums of Understanding (MOU) and CSOSA partner interdependencies, and records management.
4. Ensure all employees have current department contact lists.
5. Work closely with the CSOSA Continuity Coordinator and Continuity Manager to ensure an effective organizational continuity capability.
6. Ensure all department employees understand CSOSA's chain of command confirmation procedures as described in the Continuity Plan.
7. Actively demonstrate support for and adherence to emergency management policies and procedures.

#### **G. Emergency Staff**

1. Emergency employees are employees designated by management pursuant to the CSOSA Emergency Operations and Hazardous Weather Policy and to this Continuity of Operations Policy.
2. Contractors may also be designated as emergency staff, however Associate Directors must ensure that such contracts incorporate language which defines the contractor requirements for emergency staff. The contractual language shall not change the legal relationship established by the contract.
3. Emergency Staff will read and comply with the requirements of the:
  - a. CSOSA Continuity Policy and Plan;
  - b. CSOSA Emergency Operations and Hazardous Weather Policy; and

- c. Applicable building-specific Occupant Emergency Plans (OEP)
4. Understand and perform their individual roles during emergencies, as required.
5. Using the information in the Emergency Communications section of the Continuity Plan, proactively obtain information regarding impending or occurring natural or man-made threats.
6. For accountability purposes, keep chain of command informed of location and personal work readiness status.

## **APPENDIX B**

### **REPORTING**

#### **A. Overview**

As a Federal agency, CSOSA has requirements to report continuity-related matters to the Federal Emergency Management Agency (FEMA). One requirement is a recurring status report involving the Readiness Reporting System (RRS) and the other involves reporting to FEMA during the activation of the Agency's Continuity of Operations Plan.

#### **B. Readiness Reporting System (RRS)**

The Readiness Reporting System (RRS) is a computerized method of tracking the ability of the Federal executive branch departments and agencies to continue their essential functions at all times and under all conditions. The RRS, based on the requirements of the Federal Continuity Directive 1 (FCD 1), provides a convenient method for continuity staff and senior leadership to identify, prioritize, and manage the effectiveness of its Continuity of Operations Program. FEMA is responsible for operating the system and for reporting the individual and aggregate ability of the Federal executive branch departments and agencies to the Assistant to the President for Homeland Security.

##### Responsibilities

- a. The Continuity Coordinator approves the monthly RRS report, provided by the Continuity Manager.
- b. The Continuity Manager maintains and monitors CSOSA's RRS report and ensures that monthly reports are submitted in accordance with established reporting requirements.

#### **C. Continuity of Operations Activation**

Pursuant to the requirements of FCD 1, the Continuity Manager ensures that CSOSA, like all Federal executive branch departments and agencies, notifies the FEMA Operations Center (FOC) of any activation of the Continuity Plan. Once activated, the COOP Plan supercedes the CSOSA Telecommuting Program.