



# **POLICY STATEMENT**

Continuity of Operations  
Number: 1040  
Effective Date: 6/19/2020  
Review Due Date: 6/19/2022

**X RICHARD TISCHNER** Digitally signed by RICHARD TISCHNER  
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Richard Tischner  
Director

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## Overview

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**Background** The changing threat environment and recent emergencies, including but not limited to localized acts of nature, accidents, technological emergencies, pandemics, and terrorist attack-related incidents have increased awareness of the need for continuity capabilities and plans that will enable federal agencies to continue their mission essential functions across a broad spectrum of emergencies. As a federal executive branch agency, the Court Services and Offender Supervision Agency (CSOSA or the Agency) is required to maintain a comprehensive and effective continuity plan.

This policy establishes the Agency's commitment to:

- Implementing the Agency's Continuity Program;
  - Ensuring the continuation of CSOSA's mission essential function (MEF) under all circumstances;
  - Developing and maintaining the Continuity Program periodically; and
  - Complying with Federal Emergency Management Agency (FEMA) reporting requirements.
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**Summary of Changes**

- Incorporates organizational and procedural changes.
- Includes updated authorities and references.
- Reflects changes in federal regulations.

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**Coverage** This policy applies to all CSOSA employees, contractors, and interns.

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**Authorities**

- Presidential Policy Directive 40, *National Continuity Policy*, July 12, 2016
- Federal Continuity Directive 1 (FCD-1), *Federal Executive Branch National Continuity Program and Requirements*, January 17, 2017

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**Disclaimer** The contents of this guidance do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

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**Supersedes** This Policy Statement supersedes PS 5803, *Continuity of Operations*, dated June 15, 2011.

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**Overview**, Continued

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**References** CSOSA Continuity of Operations Plan, version 4.0, dated May 8, 2019

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**Administrator** The Office of the Director (OD) is responsible for the contents of this policy.

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## Policy

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### Principles

- In compliance with the National Continuity Policy, the Agency maintains a comprehensive and effective Continuity Program to ensure the continuity of CSOSA's MEF.
  - The Agency develops and maintains continuity plans and procedures and implements tests, training, and exercise (TT&E), and assessment programs that ensure continuity of the Agency's MEF.
  - The Agency utilizes an emergency notification system as part of the Agency's comprehensive emergency communications strategy.
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### Continuity Program Maintenance

The success of the Agency's Continuity Program is measured by the capability of the Agency to continue its MEF throughout any situation. To accomplish this, CSOSA:

- Adheres to FEMA Continuity of Operations regulations;
  - Continually reviews and improves the Agency Continuity of Operations policy, plan, and procedures;
  - Adheres to a comprehensive TT&E protocol; and
  - Reports the status of its program to FEMA National Continuity Programs.
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### Program Review and Improvement

The CSOSA Continuity Program is periodically reviewed and updated. The review is conducted by comparing the program with that of FEMA's Federal Continuity Assessment Tool (FCAT), and by conducting after-action reviews following real-world and exercise events. The FCAT consists of 43 comprehensive requirements condensed from the FCD-1. After-action reviews are internal reviews of continuity-related events. These reviews result in the inclusion of improved procedures into the next version of the Continuity of Operations Plan, which then becomes part of the subsequent tests, training classes, and exercise scenarios.

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## **Policy**, Continued

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**Program  
Reporting**

CSOSA complies with FEMA's Continuity of Operations reporting requirements. Reports include:

- Monthly submission of the Continuity Status Report (CSR);
  - Quarterly submission of the FCAT;
  - CSR submission whenever the Agency's Continuity Plan is activated;
  - CSR submission whenever the White House directs a change in the Continuity of Government Readiness Condition; and
  - CSR submission at other times, as directed by FEMA.
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## Definitions

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**Continuity Event**

A condition in which:

- The Agency is unable to perform its MEF, requiring the activation of the Agency's Continuity Plan by the CSOSA Director, and the deployment of the Agency's Emergency Relocation Group (ERG); or
  - The White House directs all executive branch departments and agencies to activate their Continuity Plans due to a disaster or imminent threat of a disaster.
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**Continuity of Operations (Continuity or COOP)**

Activities designed to ensure that a viable capability exists to continue essential functions across a wide range of potential emergencies through plans and procedures that address the following required continuity elements:

- Program management, plans, and procedures;
  - Essential functions;
  - Orders of succession;
  - Delegations of authority;
  - Alternate locations;
  - Communications and information systems;
  - Essential records management;
  - Human resources;
  - Reconstitution; and
  - TT&E.
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**CSOSA Alert**

An emergency notification system, which allows for the rapid, efficient, and effective dissemination of an emergency notification from and to a wide variety of communications platforms, and provides for some type of response back from the message recipient.

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**Emergency Relocation Group (ERG)**

The designated staff that can move to an Alternate Location and have the skills required to continue the Agency's MEF. ERG members may also be referred to as Continuity Personnel.

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**ERG Position Guide**

An ERG's position-specific checklist that provides the steps necessary to fulfill the responsibilities of the position during a continuity event.

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## Definitions, Continued

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**Mission  
Essential  
Functions  
(MEFs)**

The limited set of agency-level functions that must be continued throughout or resumed rapidly after a disruption of normal activities. CSOSA's MEF is to supervise and hold accountable offenders under its charge, especially those who are assessed to present the highest risk to public safety.

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**Occupant  
Emergency Plan  
(OEP)**

A plan that establishes procedures for safeguarding lives and property. It focuses on initial response actions to protect the safety of personnel and consists of site-specific evacuation and shelter-in-place, and other emergency response procedures. At CSOSA, the Office of Administration (OA), Office of Facilities, manages this program.

Facility emergencies can be addressed through OEPs and can be site-specific. However, an emergency could become a continuity event if the Agency is no longer able to continue its MEF.

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## Roles and Responsibilities

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### **Employees, contractors, and interns**

- Read and adhere to this policy and its associated procedures, including the Continuity Plan.
  - Complete the Emergency Preparedness Awareness online training annually.
  - Monitor CSOSA Alert account, respond to CSOSA Alerts timely and confirm the accuracy of contact information periodically.
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### **Supervisors**

- Ensure employees fulfill their Continuity-related obligations, under the Continuity Policy and Continuity Plan.
  - Keep employees informed of any Continuity-related issues.
  - Communicate any Continuity-related questions or concerns with their manager.
  - Ensure employees periodically verify CSOSA and personal information in their CSOSA Alert accounts.
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### **Emergency Relocation Group (ERG)**

- Read and sign their ERG Acknowledgement/Acceptance form.
  - Ensure their ERG Position Guide is current and complete enough that an alternate can take their place and know how to fulfill their responsibilities in that ERG position.
  - Using their ERG Position Guide, cross-train other employees to be alternates.
  - Read and comply with the requirements of the CSOSA Continuity Policy and Continuity Plan.
  - Understand and perform their roles during continuity events, as required.
  - Proactively obtain information regarding impending or occurring threats.
  - Keep the chain of command informed of the location and personal work-readiness status for accountability purposes.
  - Ensure they and their families make an effort to be prepared for emergencies.
  - Attend all required Agency ERG training and exercises.
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## Roles and Responsibilities, Continued

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### Continuity Manager

- Executes the requirements of the CSOSA Continuity Policy and Plan.
- Maintains and updates the Continuity Plan.
- Provides support to the Continuity Coordinator, as needed, during a continuity event.
- Informs the Continuity Coordinator of the Continuity Program status.
- Represents CSOSA at Continuity Advisory Group (CAG) meetings, if requested by the Continuity Coordinator.
- Leads CSOSA's Continuity Committee.
- Works closely with the:
  - OA Office of Facilities to ensure a seamless interface between Continuity of Operations-related and Occupant Emergency Plan-related emergency planning and response;
  - Office of Information Technology (OIT) to ensure the Agency has adequate information technology and communications systems; and
  - OA Office of Security to address physical security-related Continuity of Operations issues.
- Completes and submits all required FEMA-required Continuity of Operations reports on time.
- Identifies and trains CSOSA's ERG members.
- Develops and delivers Continuity of Operations-related training to the Agency through :
  - New Employee Orientation classes;
  - Emergency Preparedness Online Courses;
  - Emergency Relocation Group training; and
  - Exercises.
- Cooperates and collaborates as necessary with:
  - Pretrial Services Agency and local Federal Criminal Justice Agencies;
  - FEMA;
  - DC Homeland Security and Emergency Management Agency; and
  - Emergency response organizations.
- Oversees all aspects of CSOSA Alert.

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## Roles and Responsibilities, Continued

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### CSOSA Continuity Coordinator

- Ensures CSOSA has an effective Continuity Program.
- Informs the CSOSA Director of the Continuity Program status.
- Ensures the CSOSA Continuity Program complies with Federal directives.
- Meets periodically with the CSOSA executives, Continuity Manager, and CSOSA Emergency Preparedness Work Group's Continuity Committee to discuss issues and further the development of the Continuity Program.
- Represents CSOSA at Continuity Advisory Group (CAG) meetings, or designates a representative to attend.
- Oversees the proper vetting of the annual Continuity Plan.

**Note:** The CSOSA Deputy Director is designated as the Continuity Coordinator for CSOSA.

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### Chief Information Officer (CIO)

- Ensures CSOSA complies with the:
    - Communications and Information Systems Annex (Annex E) of the FCD-1;
    - National Institute of Standards and Technology (NIST), Contingency Planning Guide for Federal Information Systems (Special Publication 800-34 Rev. 1, November 11, 2010); and
    - NIST, Recommended Security Controls for Federal Information Systems (Special Publication 800-53 rev. 3, May 1, 2010).
  - Reviews and updates the Communications and Information Systems Annex of the CSOSA Continuity Plan semi-annually.
  - Ensures the OIT staff works closely with the CSOSA Continuity Manager to address critical strategies for systems, communications, contingency plans, and disaster recovery in the Continuity Plan.
  - Provides daily information technology and communications operating status updates to the CSOSA Crisis Action Team during a continuity event.
  - Oversees the capabilities and readiness of the OIT Disaster Recovery site.
  - Complies with additional continuity communications responsibilities listed in the Emergency Communications section of the Continuity Plan.
  - Conducts a semi-annual review of the CSOSA Alert to ensure the program is meeting contractual, cybersecurity, and privacy act requirements.
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## Roles and Responsibilities, Continued

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**Associate  
Director, Office  
of Community  
Supervision and  
Intervention  
Services (OCSIS)**

- Works with the Continuity Coordinator and the Continuity Manager to ensure OCSIS members of the ERG are identified, trained, and equipped to sustain the Agency's MEF.
  - Ensures all applicable OCSIS staff members communicate Continuity-related information with offenders at intake and on an annual basis. Information should include the responsibilities of the offender and the Community Supervision Officer during periods of poor or no communications capability.
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**Associate  
Directors**

- Read and ensure their assigned component complies with the CSOSA Continuity Policy and Plan,
  - Appoint a Continuity Point of Contact, who will be the Associate Director's representative to the CSOSA Continuity Committee and any other permanent or temporary organizations that may be established.
  - Update the following Continuity Program components with organizational information: Essential Functions, Orders of Succession / Delegations of Authority, and Essential Records.
  - 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);
    - CSOSA partner interdependencies; and
    - Records management.
  - Ensure all employees have current department contact lists.
  - Work closely with the CSOSA Continuity Coordinator and Continuity Manager to ensure organizational continuity capability.
  - Actively demonstrate support for and adherence to all CSOSA emergency management policies and procedures.
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## Roles and Responsibilities, Continued

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### Office of Administration

#### Office of Facilities – Director

- Assign a supervisor from the Office of Facilities as a permanent member (with an alternate) of the Emergency Relocation Group, and the manager of its Reconstitution Team.
- Assign the Facilities' Building Management Officer as a permanent member of the Emergency Relocation Group, and the leader of its Advance Team.
- Assign an employee from the Facilities' Building Management Team as a permanent member of the Emergency Relocation Group's Advance Team.
- Collaborate with the Continuity Manager to fully plan for and support CSOSA's three permanent alternate locations and any other ad hoc locations that may be established during a continuity event.
- Facilitate the transportation of continuity activation kits between alternate locations during a continuity event.
- Collaborate with the Director, Office of Procurement, and the Continuity Manager to prepare for the potential transfer of the Transportation Contracting Officer Representative responsibilities to the Continuity Manager during a continuity event.
- Support the Facilities Management Officer's work with the joint OEP-Continuity training program.

#### Office of Security – Director

- Assign the Deputy Director, Office of Security, as a permanent member of the Emergency Relocation Group's Advance Team.
- Maintain the Continuity Manager's physical access permissions Agency-wide.
- Coordinate and collaborate with the Continuity Manager to ensure the continuity-related Voice over Internet Protocol (VoIP) radio program is efficiently and effectively integrated with that of the Security Guard Force and the Office of Security.
- Maintain the Security Guard Force contract language that addresses continuity event requirements inside and outside of the District of Columbia city limits.

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## **Roles and Responsibilities, Continued**

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**Office of  
Administration,**  
continued

### **Office of Procurement – Director**

- Collaborate with the Continuity Manager to maintain COOP instructions within all contracts of vendors with continuity-related responsibilities.
  - Furnish at least one employee, capable of fulfilling emergency lease and acquisition functions, as a permanent member of the ERG.
  - Provide personal oversight of all continuity-related contracts to ensure they receive high priority and that the continuity language is current.
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