

Reclamation Manual

Directive and Standard

Subject:	Continuity of Operations (COOP)
Purpose:	To ensure the uninterrupted continuation of Reclamation essential functions during emergencies or threats. This Directive and Standard (D&S) establishes the framework, requirements, and processes to support the development and management of Reclamation COOP programs. The primary benefit of this D&S is to ensure uninterrupted continuation of Reclamation essential functions during emergencies or threats to personnel or facilities.
Authority:	National Security Act of 1947, as amended (50 U.S.C. § 3042); Executive Order 12148, Federal Emergency Management, July 20, 1979, as amended; Executive Order 13618, Assignment of National Security and Emergency Preparedness Communications Functions, July 6, 2012; Homeland Security Act of 2002 (Pub. L. 107-296, 116 Stat. 2135); Telework Enhancement Act of 2010 (5 U.S.C. § 6501-6506); Presidential Decision Directive 40 (PPD-40); Federal Continuity Directive 1 (FCD-1); Federal Continuity Directive 2 (FCD-2); Department of the Interior records schedule, Volume II, Chapter 2 - Subject Index Chapter 6 - Schedules ; Departmental Manual (DM) Part 900 Chapter 2; Emergency Management Policy Guidance Bulletin 2010-1 ; Reclamation Manual (RM) Delegations of Authority ; RM Policy, <i>Emergency Management</i> (SLE P08); RM D&S, Identifying and Safeguarding Controlled Unclassified Information (SLE 02-01)
Approving Official:	Director, Security, Safety and Law Enforcement (SSLE)
Contact:	Program and Emergency Management Office (84-41000)

1. **Introduction.** This D&S establishes requirements and responsibilities for Reclamation COOP programs and plans by specifying and defining required elements of a continuity plan. The safety, reliability, and continuity of Reclamation's essential functions (as defined in Appendix A), and the well-being of Reclamation's staff, are fundamental to Reclamation's mission and delivery of services to the American public. Reclamation is also a partner in the nationwide framework to support the Department's Primary Mission Essential Functions and the National Essential Functions.
 - A. This D&S establishes the minimum continuity standards for Reclamation to incorporate into its daily operations to ensure the seamless and immediate continuation of essential functions. It also establishes the framework, requirements, and processes to support the development of Reclamation's continuity programs by specifying and defining the 11 elements of a continuity plan which are required to successfully support the four phases of continuity.

Reclamation Manual

Directive and Standard

- B. There are four phases of continuity: (1) Readiness and Preparedness Phase, (2) Activation Phase, (3) Continuity Operations Phase, and (4) Reconstitution Phase. These four phases are used to build continuity processes and procedures, establish goals and objectives, and support the performance of organizational essential functions during a COOP activation. Refer to FCD-1, *Annex L – Continuity Operational Phases and Implementation*, and Appendix A of this D&S for further explanation of the four phases of continuity. All phases are supported by execution of the 11 elements of continuity outlined in FCD-1, Section VII-*Continuity Capability Elements* and by the associated requirements as outlined in this D&S.
2. **Applicability.**
- A. This D&S applies to all Reclamation employees.
- B. This D&S applies to Reclamation’s primary facilities where essential functions are conducted by Reclamation employees.
- C. This D&S does not apply to physical structures such as dams or canals where the essential function cannot physically relocate to an alternate location (e.g., staff cannot physically relocate the generation of power (i.e., move a powerplant) to a new location within 12 hours).
- D. This D&S does not apply to lapse in appropriations (i.e., government shutdown); however, staff can test or evaluate components of continuity during these situations (e.g., communications, accountability).
3. **Implementation.** Annual requirements of this D&S are defined as those scheduled to occur during the Federal fiscal year, October 1 through September 30. Employees and offices must ensure complete implementation of all requirements of this D&S as soon as possible, but no later than September 30, 2021. Every Reclamation office where essential functions are performed must have a COOP program and plan, maintained by a COOP coordinator. All Reclamation COOP programs and plans will be reviewed using an internal control program developed, maintained, and executed by the Reclamation COOP Program Manager to ensure compliance with PPD-40, FCD-1, FCD-2, and this D&S.
4. **COOP Programs, Plans, and Procedures.** PPD-40, FCD-1 and FCD-2, and this D&S outline the overarching requirements for continuity programs and plans. Implementation of a continuity plan is intended to continue or rapidly resume essential functions following a change to normal operating conditions. The sustainment of essential functions is critical to Reclamation’s resilience during a continuity activation and is ensured via the preparation and execution of the continuity elements listed in this section. The following elements must be incorporated into all Reclamation continuity programs and plans:
- A. **Essential Functions.** The identification and prioritization of essential functions is the foundation of continuity planning and establishes the parameters that drive continuity planning and preparedness efforts. To support the Primary Mission Essential Functions

Reclamation Manual

Directive and Standard

and the Mission Essential Functions established by the U.S. Department of the Interior, COOP coordinators will lead a Business Process Analysis as explained in FCD-2, *Annex C-Business Process Analysis*, to identify and document processes necessary to perform essential functions. (The U.S. Department of the Interior does not publicly publish mission essential functions. Contact the Reclamation COOP Program Manager for assistance.)

- B. Program Management, Plans, and Procedures.** Establishment of COOP program planning objectives and procedural requirements are critical to the sustainment of essential functions during a continuity activation. Alignment of resources to continuity plans and procedures is critical to ensure execution and to continue essential functions through all phases of activation. The application of risk management principles can preserve resources by assessing the probability of occurrence for catastrophic emergencies and related consequences. The following are the program management, plans, and procedures minimum requirements:
- (1) Reclamation Leadership Team (RLT) members must:
 - (a) Ensure offices have appointed primary and alternate COOP coordinators at the appropriate level to manage COOP programs. As a minimum, the Washington office, Denver office, regional offices and area offices will have appointed primary and alternate COOP coordinators. The COOP program, plan, and coordinator can be assigned and managed at the level deemed most appropriate by leadership.
 - (b) Ensure the Washington Office, Denver Office, regional offices, and area offices establish, exercise, and maintain COOP plans. (When applicable, other Reclamation offices will establish, exercise, and maintain COOP plans. These COOP plans may fall under the appropriate regional office or area office COOP plan.)
 - (c) Ensure COOP programs, plans, and requirements are in place, compliant with this D&S, and are ready to be executed.
 - (d) Ensure that functional representatives participate as Continuity Development Team (CDT) members as requested by COOP coordinators.
 - (e) Plan for and support funding, staffing, and executing supporting activities (e.g., developing plans, training, exercising, establishing and maintaining supporting infrastructure and processes, promoting a prepared and resilient organization).
 - (2) In addition to other RLT responsibilities, the Director, SSLE, will provide Reclamation-wide oversight and executive-level coordination of COOP functions, as well as leading the development, coordination, and execution of the Denver Office COOP plan.

Reclamation Manual

Directive and Standard

- (3) The approval authority who signs the COOP plan will provide oversight of COOP processes and procedures to ensure essential functions are capable of being continued or rapidly resumed during a COOP activation.
- (4) The Chief, Emergency Management and Aviation Office will provide operational and tactical-level planning, coordination, support, and information sharing related to the Reclamation COOP program.
- (5) The Reclamation COOP Program Manager will manage the Reclamation COOP program, provide oversight and direction to Reclamation COOP coordinators, and will lead and manage the Reclamation Continuity Working Group.
- (6) COOP coordinators must:
 - (a) Form and chair a CDT for coordination with functional representatives in their organization to enhance COOP program planning and implementation (one each for the Denver Office, Washington Office, each regional office, and each area office).
 - (b) Plan, develop, and maintain assigned COOP programs and plans and provide oversight to ensure proper execution of all requirements detailed throughout this D&S.
 - (c) Implement a multi-year strategy plan that provides for the development, maintenance, and annual review of continuity capabilities.
 - (d) Identify sufficient resources, equipment, supplies, and personnel necessary to sustain operations at alternate locations for a minimum of 30 days or until normal operations resume.
 - (e) Outline procedures for emergency procurement of equipment, services, and personnel to support continuity operations.
 - (f) Ensure operational capabilities are established at alternate locations as soon as possible, but no later than 12 hours after COOP plan activation.
 - (g) Ensure operational capability for a minimum of 30 days following COOP activation or until normal operations resume. This includes planning for challenges posed by continuity events extending past 30 days.
 - (h) Conduct an annual review of the COOP plan. The annual review will be conducted by the COOP coordinator and at least two members of the CDT. Updates must be completed as soon as possible, not to exceed 90 days after review. COOP coordinators must record the date of the review, names of personnel conducting the review, and any corrections noted.

Reclamation Manual

Directive and Standard

- (i) Obtain approval for a COOP plan whenever a new plan is completed or when revisions have been made. Record the approval authority's name, signature, and the date of signature on the plan itself (e.g., the regional director signs and dates the regional office COOP plan, the area manager signs and dates the area office COOP plan). Conduct revision approvals following normal Reclamation distribution and approval processes.
 - (j) Establish and maintain appropriate procedures and instructions for Emergency Relocation Group (ERG) members and Devolution Emergency Relocation Group (DERG) members to support continuity and devolution at alternate locations. At a minimum, the following are required:
 - (i) detail the processes and procedures for activating alternate locations; and
 - (ii) specify how responsibilities will be transitioned to the deployed ERG/DERG.
 - (k) Incorporate risk management principles, including identification and assessment of potential threats and hazards and their associated impacts, acceptable risk determination, and identification of required mitigation resources (refer to FCD-2 for guidance on risk analysis).
 - (l) Establish predetermined statutory orders of succession and delegations of authority to ensure sequential assumption of legal authorities and responsibilities by holders of other specified positions within the organization.
 - (m) Develop processes to protect personnel, alternate locations, equipment, records, and other assets critical to essential function performance.
 - (n) Develop and utilize a decision matrix for COOP activation. Include activation methods for with or without warning, and for during duty or non-duty hours.
- (7) The decision to activate a COOP plan is determined by the approval authority who signed the COOP plan (or successor in their absence).

C. **Orders of Succession.** Orders of succession ensure the identification of key personnel to assume leadership positions if regularly appointed personnel are unavailable during a COOP activation. COOP coordinators must ensure the following orders of succession minimum requirements are met:

- (1) COOP plans must:

Reclamation Manual

Directive and Standard

- (a) Include written orders of succession in advance of a continuity event to ensure an orderly, predefined leadership transition during changes in normal operations.
 - (b) Utilize a formal and sequential listing of positions, rather than listing specific names of individuals.
- (2) Personnel positions identified in the orders of succession must participate in COOP testing, training, and exercising as identified in paragraph 6.K. of this D&S.
- D. **Delegations of Authority.** Clearly established delegations of authority are essential to ensure that continuity personnel have the appropriate legal authority to make key decisions and act during COOP activations. Delegations of authority must be established in advance to ensure the orderly transition of responsibilities during a continuity activation. All Reclamation delegations of authority from the Commissioner are designated in RM [Delegations of Authority](#). Further re-delegations of authority must follow Paragraph 5.E. of RM *Delegations of Authority*.
- E. **Communications and Information Systems.** Availability, diversity, and redundancy of critical communications and information systems are critical to sustain essential functions. Essential functions require this when performed at primary, alternate, and devolution locations, and for telework or mobile work environments. Communications and information systems provide connectivity between and among key government leadership, internal elements, other organizations, and the public. Telework and mobile work environments require use of portable telecommunications technology such as laptop computers, cellular telephones, and satellite communications equipment. COOP coordinators must ensure the following communications and information systems minimum requirements are met:
- (1) Establish signed agreements with alternate location system owners to ensure the presence and adequacy of communications capabilities.
 - (2) Conduct risk assessments on all primary and alternate communications and information systems used in the performance of essential functions, including associated supply chains and facilities such as data processing centers.
 - (3) Enroll primary and alternate operating locations involved in the performance of Mission Essential Functions in the Federal Communications Commission's [Telecommunications Service Priority Program](#).
 - (4) Provide dedicated access to communications capabilities for facilities and personnel at designated alternate locations, and:
 - (a) Ensure communications capabilities are adequately maintained and that continuity personnel are properly trained in their use.

Reclamation Manual

Directive and Standard

- (b) Plan accordingly for essential functions that require uninterrupted communications and information technology (IT) support.
 - (c) Issue, and ensure appropriate continuity personnel and/or continuity facilities have activated, [Government Emergency Telecommunications Service \(GETS\)](#) cards and [Wireless Priority Service \(WPS\)](#) on cellular telephones.
- (5) All communications, verbal and written, must properly protect sensitive information and comply with information security requirements per SLE 02-01.

F. **Essential Records Management.** Viable continuity programs include comprehensive processes to identify, protect, and access electronic and hardcopy essential records at primary, alternate, and devolution locations. Essential records may include documents, references, personnel records, and information systems. Redundant data management software applications and equipment must be standardized and provide the appropriate level of access and cybersecurity to protect classified, sensitive, and personally identifiable information. Official access rosters must be carefully managed and maintained, and primary and alternate essential records management personnel must be identified to ensure access to essential information at all locations, under all conditions. The following are the essential records management minimum requirements:

- (1) RLT members must ensure offices have appointed an essential records manager at the appropriate levels. As a minimum, the Washington Office, Denver Office, regional offices, and area offices will have an essential records manager appointed to manage records essential to continuity operations.
- (2) COOP coordinators and the essential records managers must ensure the following essential records management minimum requirements are met:
 - (a) Identify and protect essential records that specify how Reclamation will operate during a COOP activation, including: performance of essential functions, reconstitution, devolution, and all appropriate policies, authorities, and procedures.
 - (b) Identify and protect all essential records to protect the legal and financial rights of the government and those affected by Reclamation activities (refer to FCD-1, *Annex F-Essential Records Management* for more information).
 - (c) Ensure continuity personnel have appropriate access at alternate locations to required media, equipment, and instructions for retrieval of essential records.
 - (d) Conduct an essential records risk assessment at least annually to:
 - (i) identify risks associated with retaining essential records in current locations and determine the difficulty of reconstituting the records if destroyed; and

Reclamation Manual

Directive and Standard

- (ii) identify off-site storage locations and requirements.
- (e) Use of appropriate storage methods and formats.
- (f) Determine requirements to provide alternate storage locations for duplicate records to guarantee the ready availability of essential records under all conditions and address the capture and protection of work-in-progress essential information.
- (g) Implement needed protections for essential records, based on risk assessment results, to include dispersing those records to other locations or storing those records off-site or electronically in an automated system.
- (h) Develop and maintain an essential records packet and include a copy at alternate locations. An essential records packet is an electronic or hardcopy compilation of key information, instructions, and supporting documentation needed to access essential records in an emergency. Packets must be updated or cycled on the same schedule as all other essential information to remain current. As a minimum, an essential records packet must:
 - (i) include an electronic and/or hard copy list of continuity personnel with up-to-date telephone numbers;
 - (ii) include an inventory of essential records listing the records' precise locations;
 - (iii) include all necessary access mechanisms (e.g., keys, access readers);
 - (iv) include alternate location information (e.g., address);
 - (v) include access requirements and lists of equipment necessary to access the records;
 - (vi) include lists of records recovery experts and vendors if required (e.g., names, phone number, addresses); and
 - (vii) include a copy of the organization's continuity plan.
- (i) Conduct an annual review of the essential records program to address new security issues, identify problem areas, identify any missing essential records, and update information. As a minimum, the COOP coordinator and the essential records manager will conduct the annual review and document the date of the review and the names of personnel conducting the review.
- (j) Remove essential records from inventory and storage locations when superseded or no longer applicable according to the Department of the

Reclamation Manual

Directive and Standard

Interior records schedule, [Volume II, Chapter 2 - Subject Index Chapter 6 – Schedules.](#)

- G. **Alternate Locations.** An alternate location must be chosen based on risks identified using a Business Impact Analysis process, as defined in FCD-2, and must be located with sufficient geographic distance from the organization's primary operating facility. Alternate locations are intended to support deployed ERG members who perform continuity operations (may only support deployment of the directorate or office head and a small continuity team). COOP coordinators must ensure the following alternate locations minimum requirements are met:
- (1) Establish and maintain at least two alternate operating locations for ERG relocation during a COOP activation. (One near site close enough to not affect work commute. One far site that is a location outside of the local area.)
 - (2) Leverage telework, mobile work, and work performed from directed work locations to support continuity operations.
 - (3) Conduct an annual review of alternate locations for suitability and functionality, validate continuity requirements, and document the date and names of personnel conducting the review/validation.
 - (4) Establish and implement procedures for the orientation, processing, and reception of continuity personnel.
 - (5) Coordinate with site facility managers to ensure availability of space and services.
 - (6) Establish and review annually alternate location Memorandum of Agreement (MOAs) or Memorandum of Understanding (MOUs) for sites that are neither owned nor leased. MOAs or MOUs must be current, signed with the owner or occupant of the facility, and must be reviewed annually or following changes to people in positions who approve the MOA/MOU. MOAs/MOUs must:
 - (a) Specify the maximum time required for notification of the owner/occupant to configure the facility for occupancy.
 - (b) List facility space and service details.
 - (c) Detail access control procedures during occupancy.
 - (d) Conduct an annual review of the MOA/MOU and document the review date and names of personnel conducting the review.
 - (7) Establish the following capabilities at alternate locations prior to activation or as soon as possible, but not later than 12 hours after activation:

Reclamation Manual

Directive and Standard

- (a) Perform essential functions with minimal disruption of operations, for a minimum of 30 days or until normal operations resume.
 - (b) Replicate capabilities needed to perform essential functions by providing systems and configurations used in normal daily activities.
 - (c) Establish the capability to access and use essential records necessary to conduct continuity operations.
 - (d) Establish interoperable communications, including secure communications if appropriate, with all identified stakeholders.
 - (e) Provide functional IT systems such as computer equipment, software, information systems, and other automated data processing equipment necessary to conduct continuity operations.
 - (f) Ensure the availability of essential resources such as food, water, fuel, and medical and municipal services to provide for the health, safety, and security of the facility and personnel at alternate locations.
 - (g) Establish emergency backup power capability for primary power source disruptions.
 - (h) Secure lodging to support deployed continuity personnel at or near alternate locations (if lodging is required to reduce fatigue or to overcome unreasonable travel distances between home and alternate locations across multiple operational periods).
 - (i) Develop and provide a transportation support plan for continuity personnel that details transportation to, from, and at alternate locations.
 - (j) Implement procedures for sufficient levels of physical and information security to protect against all threats, as identified in the alternate location's risk assessment and physical security surveys.
- (8) Assess each activity, task, or responsibility associated with continuity operations to determine if it is capable of being performed via telework or whether it must be performed, in part or in whole, at an alternate location. Include the following:
- (a) Establish support functions or capabilities necessary to ensure the continued performance of essential functions.
 - (b) Ensure continuance of a viable continuity capability if telework is not a viable option.

Reclamation Manual

Directive and Standard

- (c) Identify employees who are unable to perform designated functions through telework and those required to be onsite to perform continuity operations.
- (d) Create and maintain plans, policies, and procedures for telework as part of the organization's continuity strategy.
- (e) Notify employees in advance of a continuity event if they are expected to work at an alternate location or if they are expected to telework.

H. Human Resources (this refers to the management of human capital, but not functions conducted exclusively by individual human resources offices). Human resources involve the procedures to identify, document, and train continuity and non-continuity personnel on their roles and responsibilities during continuity activations. Human resources processes include establishing procedures for sustaining administrative services, personnel accountability, and support services for all employees affected during a COOP activation. COOP coordinators must ensure the following human resources minimum requirements are met:

- (1) Prepare all employees to conduct or support continuity operations, including:
 - (a) Identify primary and alternate continuity personnel (at a minimum ERG, DERG, Reconstitution Manager, and Essential Records Manager):
 - (i) inform them of their continuity roles and responsibilities in writing, obtain their signed acceptance;
 - (ii) define continuity personnel expectations, roles, and responsibilities; and
 - (iii) maintain a roster of trained personnel capable of performing continuity operations. Rosters will include at least one primary and two alternates. Update rosters when personnel changes occur and include names and desk and government-issued cellular telephone numbers.
 - (b) Provide guidance to continuity personnel on individual preparedness measures taken to ensure their response to a continuity activation. Guidance must include:
 - (i) offer recommended content and maintenance of drive-away kits for deploying continuity personnel; and
 - (ii) stipulate how to prepare and plan for a continuity activation, including procuring an emergency supply kit, making a family emergency plan, and being informed about the different types of catastrophic emergencies that could occur and the appropriate responses.

Reclamation Manual

Directive and Standard

- (c) Specify non-continuity personnel's roles and responsibilities during COOP activations and specify how they will be utilized and supported.
 - (2) Establish and implement procedures to communicate and coordinate activities with all personnel, continuity facilities, and entities the affected organization interacts with (other organizations, customers, and stakeholders) before, during, and after a continuity event, including alerts and notifications. Minimum communication requirements for COOP activations are as follows:
 - (a) Communicate and coordinate activities with non-continuity personnel during COOP activations.
 - (b) Communicate the organization's operating status to all staff and stakeholders.
 - (c) Communicate guidance on pay, leave, staffing, and other human resources flexibilities to all staff.
 - (d) Provide information or reference provisions and procedures to assist disaster survivors regarding employee assistance programs and needs.
 - (3) Establish and implement accountability procedures for continuity and non-continuity personnel in the affected area during COOP activations. Minimum accountability requirements during COOP scenarios are as follows:
 - (a) All employees must follow and respond to all directions during COOP activations to ensure accountability and safety.
 - (b) Communicate how non-continuity personnel are expected to remain in contact with their organization and/or supervisor.
 - (c) Account for all continuity personnel within 12 hours of COOP activation.
 - (d) Account for all staff in the affected area within 5 days of COOP activation, reporting no less than once every 24-hour period or as established in the organization's COOP plan.
- I. **Devolution.** A devolution plan accounts for the loss or incapacitation of agency staff in addition to the facility. It describes procedures regarding the circumstances and execution of transfer of essential functions to different staff at a different facility designated as the devolution location. A devolution location must be a facility significantly outside the geographic region of the primary operating facility that is used to conduct continuity operations. Develop a devolution plan for continuity to address conducting essential functions when the primary operating facility, and/or ERG members are not available. COOP coordinators must ensure the following devolution minimum requirements are met:

Reclamation Manual

Directive and Standard

- (1) Identify both active and passive triggers that result in the activation and implementation of the devolution plan.
- (2) Establish a devolution location.
- (3) Specify how and when direction and control of operations will transfer to and from the devolution location.
- (4) List the necessary resources, such as equipment and materials, to facilitate the performance of essential functions at the devolution location.
- (5) Address all continuity elements in the devolution plan.
- (6) Outline procedures for the transition of responsibilities back to personnel at the primary operating facility upon termination of devolution.
- (7) Identify and document primary and alternate DERG members and maintain a DERG roster of trained personnel capable of performing devolution operations. DERG rosters must:
 - (a) Update DERG roster when changes of DERG personnel occur.
 - (b) At a minimum, include names, offices and government-issued cellular telephone numbers.

J. **Reconstitution.** Reconstitution provides a process by which surviving and/or replacement personnel resume normal operations at the original primary operating facility or a replacement primary operating facility. As an element of continuity, reconstitution simultaneously sustains essential functions while coordinating the resumption of normal operations. Reconstitution planning begins at the start of a continuity activation. The following are the reconstitution minimum requirements:

- (1) RLT members must ensure offices have appointed a reconstitution manager at the appropriate levels. As a minimum, the Washington Office, Denver Office, regional offices, and area offices will have a reconstitution manager to oversee all phases of the reconstitution process during a COOP activation.
- (2) COOP coordinators and reconstitution managers must ensure the following reconstitution minimum requirements are met:
 - (a) Designate a reconstitution manager and team members by position (not by name) in the reconstitution section of the COOP plan.
 - (b) Identify resources dedicated to reconstitution, separately from existing continuity support, in the reconstitution section of the COOP plan.

Reclamation Manual

Directive and Standard

- (c) Develop a plan to recover from the effects of a disruption in operating conditions and to support the transition back to normal operations once a threat or disruption has passed. This plan must:
 - (i) determine how to assess the status of affected personnel, assets, and facilities;
 - (ii) outline the necessary procedures for conducting a smooth transition from the continuity facility to either the existing primary operating facility, another temporary facility, or a new permanent primary operating facility;
 - (iii) verify operational capability and availability of systems, communications, essential records, infrastructure, and other required resources to accomplish all essential functions at the new or restored primary operating facility;
 - (iv) detail processes and procedures to determine if any records were affected by the incident to ensure an effective transition or recovery of essential records;
 - (v) include redeployment plans for phasing down alternate location operations and supervising the return of operations, personnel, records, and equipment to the primary or other operating facility in a priority-based approach;
 - (vi) detail processes to instruct all personnel on how to resume normal operations; and
 - (vii) fill out and utilize GSA Standard Form 2050 (SF-2050), [Reconstitution Questionnaire](#), to document required space, equipment, and resources to properly reconstitute.

K. Testing, Training, and Exercising (TTE), Documenting, and Reporting. An effective TTE program is necessary to prepare and validate COOP programs and plans. The TTE of continuity capabilities is essential to demonstrating, assessing, and improving Reclamation's ability to execute its continuity program, plans, and procedures. In accordance with PPD-40, FCD-1, and FCD-2, it is critical for Reclamation to plan and conduct routine internal TTE events to evaluate program readiness and ensure adequacy and viability of COOP plans, communications, and IT systems. All employees will participate in planning, training, and exercises as required, to prepare for emergencies, and to become knowledgeable of their roles and responsibilities during COOP activations. COOP coordinators must ensure the following TTE, documenting, and reporting minimum requirements are met:

Reclamation Manual

Directive and Standard

- (1) **Testing.** Testing demonstrates the correct operation of all equipment, procedures, processes, and systems that support an organization's continuity infrastructure. This ensures that resources and procedures are kept in a constant state of readiness. Testing an organization's policies, plans, and procedures cultivates better organizational knowledge, identifies gaps in coverage, and validates existing plans and programs. Include and document the following minimum testing requirements:
 - (a) Quarterly testing of the internal and external primary and contingency communications and IT systems.
 - (b) Annual testing of alert and notification procedures for continuity personnel.
 - (c) Annual testing of primary and backup infrastructure systems and services, such as power, water, and fuel, at alternate locations.
 - (d) Annual testing of telework capabilities, to include IT infrastructure required to support telework options during a continuity activation.
 - (e) Annual testing for information systems and essential records, and, as a minimum, include:
 - (i) test recovery strategies for essential records, critical information systems, services, and data (both classified and unclassified); and
 - (ii) test protection capabilities for classified and unclassified essential records and IT systems and for providing alternate location access.

- (2) **Training.** Training familiarizes continuity personnel with their roles and responsibilities to support the performance of an organization's continuity operations. Training results in a better understanding of an organization's continuity program, processes, and procedures. Include and document the following minimum training requirements:
 - (a) Conduct annual continuity awareness briefings for all staff to include new personnel as they onboard.
 - (b) Conduct annual training on roles and responsibilities for all continuity personnel, including host or contractor personnel, who are assigned to activate, support, and sustain continuity operations. Training must include:
 - (i) education on the continuity plan involving using or relocating to alternate locations or other work arrangements, such as telework;

Reclamation Manual

Directive and Standard

- (ii) familiarization with the reconstitution plan and procedures to resume normal operations at the primary operating facility or a replacement primary operating facility;
 - (iii) communications and IT system planning necessary to support or sustain continuity operations; and
 - (iv) how to identify, protect, and make available electronic and hardcopy essential records, documents, references, records, information systems, and data management software and equipment (including classified or sensitive data) needed to support or sustain continuity operations.
- (c) Provide annual training on roles and responsibilities for personnel, including host or contractor personnel, who are assigned to activate, support, and sustain devolution operations. As a minimum, annual training must include:
- (i) familiarize personnel with the devolution plan processes and procedures;
 - (ii) educate personnel on the use of communications and IT systems used during devolution operations;
 - (iii) explain how to access, identify, and protect electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during devolution operations; and
 - (iv) explain how to identify and conduct essential functions during an increased threat situation or in the aftermath of a catastrophic emergency or unplanned incident that activates the devolution plan.
- (3) **Exercising.** Exercising allows personnel to practice and improve continuity capabilities in a risk-free environment. Exercises can be used to validate policies, plans, procedures, training, equipment capabilities, and interagency agreements; clarifying and training personnel in roles and responsibilities; improving interagency coordination and communications; improving individual performance; identifying gaps in resources; and identifying opportunities for improvement. The [Homeland Security Exercise and Evaluation Program \(HSEEP\)](#) provides guiding principles for exercise programs, as well as a common approach to exercise program management, design, development, conduct, evaluation, and improvement planning. Include and document the following minimum exercising requirements:
- (a) Develop and implement an exercise plan that includes a cycle of events to incorporate evaluations, After Action Reports, and lessons learned into the

Reclamation Manual

Directive and Standard

development and implementation of an Improvement Plan. The approval authority who signed the COOP plan will support and promote the implementation of After Action Reports and Improvement Plans.

- (b) Conduct an annual exercise to test COOP plans, processes, procedures, and to demonstrate continuity personnel's familiarity with continuity plans and procedures and to validate the capability to continue or quickly resume essential functions. The exercise must:
 - (i) include the deliberate and pre-planned movement of ERG members to an alternate location;
 - (ii) test and validate internal and external communications capabilities;
 - (iii) verify that data and records required to support essential functions at alternate locations are sufficient, complete, current, and accessible to ERG members;
 - (iv) maintain situational awareness and outreach with internal and external organizations identified in the continuity plan with respect to performance of the organization's essential functions; and
 - (v) demonstrate the capability to continue essential functions from telework sites, if used as a continuity strategy, to include accessing and using records, communications, and systems.
- (c) Conduct a biennial exercise for DERG members to demonstrate their familiarity with devolution procedures. This exercise must:
 - (i) familiarize DERG members with devolution plan processes and procedures; and
 - (ii) familiarize DERG members with reconstitution plans and procedures for the original primary operating facility or a replacement primary operating facility.
- (4) **Documenting and Reporting.** COOP coordinators must document all conducted TTE events utilized to train and prepare continuity personnel, including the date of the event, those personnel participating in the event, and the event outcome.
 - (a) Regional COOP coordinators must submit the following to the Reclamation COOP Program Manager annually to provide visibility on Reclamation continuity efforts:
 - (i) an email listing all locations in their region which require a COOP plan and detail which locations have an approved and signed COOP plan.

Reclamation Manual

Directive and Standard

The location, the name of the approval authority who signed the COOP plan, and the date it was approved/signed must be listed; and

(ii) an email certifying all locations in their region which participated in an annual COOP exercise that incorporated the deliberate and pre-planned movement of continuity personnel to an alternate location. The location and the date the exercise was completed must be listed.

(b) Upon the activation of any COOP plan, the regional duty officer must notify the bureau duty officer in accordance with SLE 08-03, *Serious Incident Reporting and Duty Officer Program*.

5. **Definitions.** See Appendix A

6. **Review Period.** This originating office will review this release every 4 years.

RECLAMATION MANUAL TRANSMITTAL SHEET

Effective Date: _____

Release No. _____

Ensure all employees needing this information are provided a copy of this release.

Reclamation Manual Release Number and Subject

Summary of Changes

NOTE: This Reclamation Manual release applies to all Reclamation employees. When an exclusive bargaining unit exists, changes to this release may be subject to the provisions of collective bargaining agreements.

Filing instructions

Remove Sheets

Insert Sheets

All Reclamation Manual releases are available at <http://www.usbr.gov/recman/>

Filed by: _____

Date: _____