FEDERAL PREPAREDNESS CIRCULAR

Federal Emergency Management Agency
Washington, D.C. 20472

FPC 3

July 25, 1991

TO: HEADS OF FEDERAL DEPARTMENTS AND AGENCIES

SUBJECT: CIVSITREP: Civil Situation Reporting During National Security Emergencies

1. Purpose. This Federal Preparedness Circular (FPC) provides guidance and procedures for Federal departments and agencies in the preparation of a Civil Situation Report (CIVSITREP) during national security emergencies.

2. Applicability and Scope. The provisions of this FPC apply to all Federal departments and agencies assigned national security emergency preparedness (NSEP) responsibilities.

3. Supersession. This FPC supersedes Federal Preparedness Guide 6.104, Civil Situation Reporting During Emergencies, issued March 13, 1985.

4. Summary. During national security emergencies requiring action by Federal departments and agencies, a daily CIVSITREP is prepared and distributed by the Federal Emergency Management Agency (FEMA).

5. Authorities.

a. The National Security Act of 1947, as amended, sections 103 and 303, 50 USC 404 and 405.

b. Executive Order (EO) 12656 of November 18, 1988, Assignment of Emergency Preparedness Responsibilities, 3 CFR, 1988 Comp., p. 585.

c. EO 12148 of July 20, 1979, as amended, Federal Emergency Management, 3 CFR, 1979 Comp., p. 376.

6. Policy.

a. As national security emergencies unfold, all appropriate officials responsible for responding to these situations require a flow of current and comprehensive information. Because of the interaction of military and civil Federal departments and agencies, a multi-purpose reporting format is the most efficient.

Distribution:

The format described in this document incorporates: national security emergency reporting requirements for Federal departments and agencies, minimal information requirements from the United States (US) military, and US reporting requirements for the North Atlantic Treaty Organization (NATO).

b. Section 101 of EO 12656 defines a national security emergency as "...any occurrence, including natural disaster, military attack, technological emergency, or other emergency, that seriously degrades or seriously threatens the national security of the United States." Other emergencies could include international crises and hostile or economic threats to the US.

7. Responsibilities.

a. FEMA.

(1) The Director, FEMA, or official designee, is responsible for:

(a) Notifying the appropriate Federal departments and agencies of administrative requirements regarding civil situation reporting. This includes the following requirements:

(i) When to begin transmitting,

(ii) When to cease transmitting, and

(iii) When the NATO section is required;

(b) Receiving CIVSITREP reports from the Federal departments and agencies and FEMA regional offices;

(c) Preparing the daily CIVSITREP; and

(d) Transmitting the CIVSITREP to the appropriate Federal departments and agencies, the FEMA regional offices, and the FEMA National Emergency Coordination Center (NECC).

(2) The FEMA Regional Directors, or official designees, are responsible for submitting a daily regional-level CIVSITREP to the Director, FEMA, for use in preparing the national CIVSITREP. The daily regional input may include information compiled from any source, including State and local governments and other Federal departments and agencies located within their boundaries.

b. Department of Defense (DOD). The Secretary of Defense, or official designee, is responsible for preparing and submitting a daily military situation report to FEMA during national security emergencies, if applicable.

c. Other Federal Departments and Agencies. The heads of Federal departments and agencies are responsible for:

(1) Establishing and maintaining contact with their standard regional, field element and nonstandard regional offices upon receipt of notification of an emergency;

(2) Notifying those elements of the need to collect and transmit information for the CIVSITREP;

(3) Submitting consolidated reports daily for the CIVSITREP to FEMA headquarters, once notified to begin reporting;

(4) Following the prescribed time schedule indicated in the notification; and

(5) Following the prescribed format for the CIVSITREP's as required in the notification.

8. Procedures for Preparation of CIVSITREP. The following procedures are used to prepare the CIVSITREP:

a. Notification. In time of an emergency, FEMA notifies appropriate Federal departments and agencies to begin transmitting submissions for the daily CIVSITREP. FEMA provides instructions regarding the initial requirement for reporting, the transmission system to be used, security classification, and the timing of reports.

b. Reporting Period. Once notified to begin transmitting, Federal departments and agencies and FEMA regional offices report to FEMA headquarters their significant actions covering the previous 24-hour period. Negative reports are required. FEMA headquarters staff compiles the reports into the appropriate format. A military situation summary is included, if appropriate.

c. Length of Inputs. All individual items should be summarized in fewer than 100 words unless additional information is essential. Submissions longer than 100 words are subject to editing.

d. Information Reporting. Each item or event being reported for inclusion in the CIVSITREP should:

(1) Note the section of the report for which it is intended;

(2) Specify the category under which it belongs;

(3) Contain only significant information and status changes not contained in previous CIVSITREP submissions;

(4) Exclude routine information;

(5) Include the following information:

(a) Geographic area in which it happened, if appropriate;

(b) Nature and magnitude of the problem;

(c) Indication of its most immediate and severe impact upon the public;

(d) Priority within the reporting agency;

(e) Likelihood of solution;

(f) Current status; and

(g) If it is an action being taken by the submitting agency independently or jointly with other Federal, regional, State, or local organizations.

e. Security Classifications. Appropriate security classification markings for each paragraph should be determined by the submitting Federal department or agency.

9. CIVSITREP Format. Attachment A contains a sample CIVSITREP format to assist Federal departments and agencies in organizing their information collection and providing guidance to their personnel for transmittal.

a. Section I summarizes the situation briefly. It contains major declarations and alert actions. It references Defense Conditions (DEFCON's) as well as Civil Readiness Conditions (CIVCON's) and Graduated Mobilization Response (GMR) alert levels. This section is prepared by FEMA headquarters.

b. Section II contains a brief summary of the military situation, if applicable. This section is provided by DOD.

c. Section III contains a brief summary of daily key events which occurred during the reporting period. Organized into seven functional categories, it is based on information from the applicable portion of section IV. This section is prepared by FEMA headquarters.

d. Section IV contains two parts (A and B). Although only one is used, each part contains the same information requirements in different formats. The choice depends on the nature of the emergency. Part A is used for the majority of emergencies and excludes NATO activities. Part B is used when there is NATO reporting. Information on which format to use is included in the

notification to Federal departments and agencies. In this section, FEMA and the departments and agencies give specific information concerning local and national activities, such as food or fuel shortages, damage assessments, the need for medical personnel, etc. The information is organized into categories which match those listed in section III.

10. Interagency Reports Control. The Civil Situation Report is exempt from interagency reports control in accordance with the provisions of Federal Information Resources Management Regulation 201-9.202-2(b)(2)(iv).

11. Distribution. This FPC is distributed to the heads of Federal departments and agencies, senior policy officials, emergency planners, and other interested parties.

Wallace E. Stickney
Director

Attachments
A - Sample Civil Situation Report (CIVSITREP) Format
B - Blank Civil Situation Report (CIVSITREP) Format

Attachment A

CIVIL SITUATION REPORT FORMAT AND GUIDELINES

FEDERAL DEPARTMENT AND AGENCY CIVIL SITUATION REPORT (CIVSITREP)
PREPARED BY: Department or Agency Name

Report Number/Date-TimeZ[1]

LIST ADDRESSEES:

I. Summary of Emergency Situation. [2]

A. Emergency Status: When and why the President declared an emergency. Day of emergency, e.g., E + 4

B. Military: DEFCON level or levels

C. Civil: Civil Readiness Condition (CIVCON) or Graduated Mobilization Response level or other alert level

D. NATO Status: Complete, if applicable

II. Military Situation Summary.[2] To be supplied by DOD

III. Daily Key Events Summary.[2] Derived from section IV A or B

A. ECONOMIC:

B. ENERGY:

C. GOVERNMENT:

D. HUMAN SERVICES:

E. LEGAL/LAW:

F. TELECOMMUNICATIONS:

G. TRANSPORTATION:

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[1]Date and time are shown as "Day-Time (Zulu)/Month/Year." For example, an entry for 1:00 p.m. February 28, 1991, would show as "281800Z FEB 91." Zulu Time is Eastern Standard Time (EST) plus five (5) hours.

[2]Security classification is determined for each paragraph by the submitting department or agency in accordance with established security procedures.

IV. A. Daily Key Events.[2] This section is used for civil agency non-NATO reporting. The category format is the same as section III, but this section requires more detail. In a non-NATO emergency, the CIVSITREP ends here.

B. Daily Key Events.[2] This section is used for NATO Reporting. The eight categories listed for NATO requirements are keyed to the seven categories in section III to assist CIVSITREP preparers.

ALPHA:	GOVERNMENT READINESS (Corresponds to section III. C.--GOVERNMENT)
ALPHA ONE:	Assessment of the general state of governmental readiness.
ALPHA TWO:	Emergency legislation, assumption of emergency powers, devolution of powers, etc.
ALPHA THREE:	Continuity of central/National/Federal Government. State of preparedness, transfer to emergency sites, etc.
ALPHA FOUR:	Continuity of other levels of government. State of preparedness.
BRAVO:	POPULATIONS - CIVIL MORALE (See annotation for each subcategory)
BRAVO ONE:	Assessment of the general state of civil morale and public order. (Corresponds to section III. E.--LEGAL/LAW)
BRAVO TWO:	General information to the public; reaction of the news media. (Corresponds to section III. C.--GOVERNMENT)
BRAVO THREE:	Major demonstrations and strikes. (Corresponds to section III. E.--LEGAL/LAW)
BRAVO FOUR:	Subversive activities; e.g., sabotage. (Corresponds to section III. E.--LEGAL/LAW)
BRAVO FIVE:	Implementation and effectiveness of the stay-put policy including evacuations (government-ordered population

movements) and refugees (uncontrolled population movements). (Corresponds to section III. C. and E.--GOVERNMENT AND LEGAL/LAW)

BRAVO SIX: Any other matters or observations affecting public order. (Corresponds to section III. E.--LEGAL/LAW)

CHARLIE: POPULATIONS - CIVIL DEFENSE (See annotation for each subcategory)

CHARLIE ONE: Assessment of the general state of protection of the civil population. (Corresponds to section III. E.--LEGAL/LAW)

CHARLIE TWO: Estimated total number of dead since hostilities began. (For civilian population corresponds to section III. D. or E.--HUMAN SERVICES OR LEGAL/LAW)

CHARLIE THREE: Estimated present number of seriously injured; i.e., the current number requiring hospital treatment. (See CHARLIE TWO reference)

CHARLIE FOUR: Medical and hospital situation, including skilled personnel. (Corresponds to section III. D.--HUMAN SERVICES)

CHARLIE FIVE: Readiness of civil defense arrangements (warning systems, shelters, civil defense forces, information on protective measures, etc.). (Corresponds to section III. C.--GOVERNMENT)

CHARLIE SIX: Any other matters or observations affecting the protection of the civil population. (Corresponds to section III. C. or E.--GOVERNMENT OR LEGAL/LAW)

DELTA: TRANSPORT (Corresponds to section III. G.--TRANSPORTATION)

DELTA ONE: Assessment of the overall situation regarding transport, including the capacity (resources, facilities, manpower, equipment and systems) to meet present and predictable requirements.

DELTA TWO: Shipping. (Means maritime; covers ocean and coastal shipping and ports)

DELTA THREE:	Air transport. (This refers to civil air transport--US carrier, international and domestic)
DELTA FOUR:	Inland surface transport. (This includes rail, motor carrier, highways, urban transport, intercity buses, private motor vehicles, and inland waterways)
DELTA FIVE:	Damage caused by warfare or sabotage to transport resources (capacity) and facilities (unless covered under previous categories).
ECHO:	CIVIL TELECOMMUNICATIONS (Corresponds to section III. F.--TELECOMMUNICATIONS)
ECHO ONE:	Assessment of the overall situation, including the capacity to meet present and predictable requirements.
ECHO TWO:	Damage caused by warfare or sabotage to civil telecommunications resources and facilities (unless covered under previous categories).
FOXTROT:	ENERGY (Corresponds to section III. B. --ENERGY)
FOXTROT ONE:	Assessment of the overall energy situation, including the capacity to meet present and forecasted requirements.
FOXTROT TWO:	Oil.
FOXTROT THREE:	Natural gas and coal.
FOXTROT FOUR:	Electricity and other sources of energy.
FOXTROT FIVE:	Damage caused by warfare or sabotage to the energy resources and facilities (unless covered under previous categories).
GOLF:	SUPPLIES (See annotation for each subcategory)
GOLF ONE:	Assessment of overall supply situation, including manpower and capacity to meet present and forecasted requirements. (Corresponds to section III. A. and D.--ECONOMIC and HUMAN SERVICES)

GOLF TWO:	Food and agriculture. (Corresponds to section III. D.--HUMAN SERVICES)
GOLF THREE:	Industry. (Corresponds to section III. A.--ECONOMIC)
GOLF FOUR:	Damage caused by warfare or sabotage to the production potential and stocks (unless covered under previous categories). (Corresponds to section III. A.--ECONOMIC)
HOTEL:	GENERAL NATIONAL ECONOMY (Corresponds to section III. A.--ECONOMIC)
HOTEL ONE:	Assessment of the general state of the national economy, insofar as this is not covered by DELTA, ECHO, FOXTROT, and GOLF.
HOTEL TWO:	Banking, finance, and the monetary system. (Corresponds to section III. A. --ECONOMIC)
HOTEL THREE:	Any other matters or observations regarding the national economy not covered under other categories. (Corresponds to section III. A. or C.--ECONOMIC OR GOVERNMENT)

Attachment B

CIVIL SITUATION REPORT (CIVSITREP) FORMAT

SUBMITTED BY: _____

Report Number/Date-TimeZ:

ADDRESSEES:

I. Summary of Continuing Situation.[1]

A. Emergency Status:

B. Military:

C. Civil:

D. NATO Status:

II. Military Situation Summary.[1]

III. Daily Key Events Summary.[1]

A. COMMUNICATIONS:

B. ECONOMIC:

C. ENERGY:

D. GOVERNMENT:

E. HUMAN SERVICES:

F. LEGAL/LAW:

G. TRANSPORTATION:

IV. A. Daily Key Events.[1] NON-NATO (III. A-G)

OR

B. Daily Key Events.[1] NATO (ALPHA - HOTEL)

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[1]Each entry must be classified appropriately.

FEDERAL PREPAREDNESS CIRCULAR
Federal Emergency Management Agency
Washington, D.C. 20472

FPC 66

April 30, 2001

TO: HEADS OF FEDERAL DEPARTMENTS AND AGENCIES

SUBJECT: TEST, TRAINING AND EXERCISE (TT&E) PROGRAM FOR CONTINUITY OF OPERATIONS (COOP)

1. **PURPOSE.** This Federal Preparedness Circular (FPC) provides guidance to Federal Executive Branch departments and agencies for use in developing viable and executable test, training and exercise programs to support the implementation and validation of COOP plans.

2. **APPLICABILITY AND SCOPE.** The provisions of this FPC are applicable to all Federal Executive Branch departments, agencies, and independent organizations, hereinafter referred to as "agencies."

3. **AUTHORITIES.**

   a. The National Security Act of 1947, dated July 26, 1947, as amended.

   b. Executive Order (EO) 12148, Federal Emergency Management, dated July 20, 1979, as amended.

   c. EO 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, dated April 3, 1984.

   d. EO 12656, Assignment of Emergency Preparedness Responsibilities, dated November 18, 1988, as amended.

   e. Presidential Decision Directive (PDD) 67, Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998.

4. **REFERENCES.**

   a. PDD 62, Protection Against Unconventional Threats to the Homeland and Americans Overseas, dated May 22, 1998.

   b. PDD 63, Critical Infrastructure Protection (CIP), dated May 22, 1998.

   c. Federal Preparedness Circular (FPC) 60, Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies, dated November 20, 1990.

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d. FPC 65, Federal Executive Branch Continuity of Operations (COOP), dated July 26, 1999.

e. Title 41 Code of Federal Regulations (CFR), Section 101.20.003, Definitions, and Section 101.20.103-4, Occupant Emergency Program, revised as of July 1, 2000.

f. Title 36 CFR, Part 1236, Management of Vital Records, revised as of July 1, 2000.

5. **DEFINITIONS.**

a. Test - demonstration of the correct operation of equipment, procedures, processes, and systems that support the organization.

b. Training - instruction in individual or agency functions, procedures, and responsibilities.

c. Exercise - evaluation of individual or organizational performance against a set of standards or objectives.

6. **POLICY.** It is the policy of the United States to have in place a comprehensive and effective program to ensure continuity of essential Federal functions under all circumstances. As a baseline of preparedness for the full range of potential emergencies, all Federal agencies shall have in place a viable COOP capability, which ensures the performance of their essential functions during any emergency or situation that may disrupt normal operations. Inherent in this policy is the requirement that all Federal agencies periodically test, train, and exercise their COOP plans individually and collectively.

7. **BACKGROUND.** A changing threat environment and recent events emphasize the need for COOP capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies. FPC 65, in accordance with PDD 67, states that testing, training, and exercising of COOP capabilities are necessary to demonstrate and improve the ability of agencies to execute their essential functions. An agency's essential functions include those functions, stated or implied, which are required to be performed by statute or EO; involve the legal or financial rights of the government or citizens; or directly support important administrative functions or mission-related activities, such as counter-terrorism and survival of critical infrastructures.

8. **OBJECTIVES.** The overall objective of a COOP TT&E Program is to develop, implement and institutionalize a comprehensive, all-hazard program to improve the ability of agencies to effectively manage and execute their COOP plans. The program incorporates the three functional areas of testing systems and equipment, training personnel, and exercising plans and procedures. Specific objectives of a COOP TT&E Program are to:

a. Validate COOP plans, policies, and procedures.

b. Ensure that agency personnel are familiar with alert, notification, and deployment procedures.

c. Ensure agency personnel are sufficiently trained to carry out agency minimum essential operations and functions when deployed at a COOP site or working in a COOP environment.

d. Exercise procedures by deploying designated personnel and equipment to an alternate facility to ensure the ability to perform an agency's essential functions and operations during an emergency.

e. Ensure that backup data and records required to support essential functions at the alternate facility are sufficient, complete and current.

f. Test and validate equipment to ensure both internal and external interoperability.

g. Ensure agency personnel understand the procedures to phase down COOP operations and transition to normal activities when appropriate.

9. **TT&E PROGRAM.** Agencies should develop a TT&E program that incorporates all levels of the agency, including headquarters, regions, and field locations. Funding for the program is the responsibility of each agency.

The TT&E program should include: policy, guidance, and standards; training courses and materials; exercises of varying types and scope designed to improve the overall organizational response capability to emergency situations; a multi-year TT&E schedule; and evaluation and remedial action programs.

10. **PLANNING CONSIDERATIONS.** The TT&E program should be developed against the objectives identified in Section 8, to ensure agency COOP program viability and readiness. Planning considerations should include:

a. Training. Regularly scheduled training of agency personnel. This training program should consist of:

(1) A COOP awareness program for its entire workforce; and

(2) A comprehensive readiness program to ensure the preparedness of personnel assigned to carry out essential operations and functions during an event.

b. Testing. Regularly scheduled testing of agency equipment, systems, processes, and procedures used to support the agency during a COOP event. This testing program should:

(1) Provide for quarterly evaluations of alert and notification procedures and systems, including instructions for relocation to pre-designated facilities, with and without warning, and during duty and non-duty hours;

(2) Evaluate the ability to access current vital records, systems, and data management software and equipment, including classified or sensitive information necessary to perform essential functions;

(3) Evaluate the interoperability of communications, to include secure capabilities if required; and

(4) Evaluate the logistical support, services, and infrastructure systems (e.g., water, electrical power, heating, and air conditioning) at alternate facilities.

c. Exercising. Regularly scheduled exercising of agency COOP plans to ensure the ability to perform essential operations and functions. This exercise program should:

(1) Be scalable in the magnitude of the event and include a variety of potential hazards;

(2) Incorporate the deliberate and pre-planned movement of emergency personnel to an alternate facility;

(3) Provide for continuation of operations during all phases of the event as outlined in FPC-65; and

(4) Include the phase-down of alternate facility operations and return to normal operations (reconstitution).

d. Interagency Initiatives. Participation in interagency TT&E initiatives, where applicable and feasible by:

(1) Becoming aware of available TT&E resources;

(2) Developing relationships with other agencies;

(3) Participating actively in the interagency COOP Working Groups (CWG) and standing and ad hoc committees;

(4) Participating in multi-agency COOP exercises; and

(5) Participating with other emergency teams as appropriate.

11. **TT&E PROGRAM IMPLEMENTATION.** The TT&E program should be progressive in nature, building from simple, individual tasks to complex, multi-organizational interactions. An effective program is built on the successful integrating as discussed below.

a. Training. Regularly scheduled training must be conducted to assure the readiness of all agency emergency and non-emergency personnel. Training plans are developed and implemented to prepare individuals and groups to accomplish certain tasks, using selected equipment, under specific scenarios. This training may encompass a deliberate blend of hands-on activities, seminars, orientations, workshops, on-line or interactive programs, briefings and lectures. Additionally, a variety of public and private sources, including the Federal Emergency Management Agency (FEMA) and the General Services Administration (GSA), offer training in various aspects of COOP.

COOP training should not address the competencies required for "normal" tasks and operations. The purpose of the training is to prepare agency personnel to institute emergency operations at an alternate facility, to use equipment and procedures and to work with individuals with whom they have little contact during normal day-to-day operations.

The length of the training and the depth of the coverage of the information provided and discussed will vary based on the audience and method of training selected. Typically, if the audience is essential personnel, details of operations, communications, vital records and alternate facilities will require extended discussion. Awareness training for the entire workforce might include topics such as compensation during an event, alert/notification procedures, work location, information dissemination, etc. Major topics or components of the training syllabus could include:

(1) Definition of COOP.

(2) Essential elements of COOP.

(3) Criteria or "triggers" for a COOP event.

(4) Major operational elements of the specific organization's COOP:

- COOP leadership and development within the organization;
- Leadership during a COOP event;
- Impact of a COOP event on the individual employee;
- Implementation;
- Phases of an event;
- Essential functions and operations;
- Alternate facilities; and
- Migration to normal operations.

(5) Maintenance of COOP plans.

b. Testing. Testing is the technique of demonstrating the correct operation of all equipment, procedures, processes and systems that support the organizational infrastructure. The testing process validates that the equipment and systems conform to specifications and operate in the required environments, and that procedures and processes are viable. Testing is used as the verification and validation technique to confirm that backup equipment and systems closely approximate the operations of the primary equipment and systems. Based on the measures and benchmarks desired, there are a variety of methods that can be used to test the functionality of backup environments. Examples of tests include static tests, dynamic tests, and functional tests.

(1) *Static tests* determine if all the essential components of the equipment and systems are in place and meet the specification and design requirements of the organization.

(2) *Dynamic tests* verify that all of the required equipment and systems function independently of each other, function in consort with each other and satisfy the operational requirements of the organization.

(3) *Functional tests* verify that the procedures for operating the equipment and systems in the backup environment are correct. This testing assures that when trained and qualified personnel are required to utilize the backup equipment and systems, the instructions for operation are clear and complete.

c. Exercising. Exercises are conducted for the purpose of validating elements, both individually and collectively, of the organization's COOP. An exercise should be a realistic rehearsal or simulation of an emergency, in which individuals and organizations demonstrate the tasks that would be expected of them in a real emergency. Exercises should provide emergency simulations that promote preparedness, improve the response capability of individuals and organizations, validate plans, policies, procedures and systems, and determine the effectiveness of the command, control, and communication functions and event-scene activities. Exercises may vary in size and complexity to achieve their respective purposes. Examples of emergency exercises include tabletop exercises, drills, functional exercises, and full-scale exercises.

(1) *Tabletop Exercises* simulate an emergency situation in an informal, stress-free environment. They are designed to elicit constructive discussion as participants examine and resolve problems based on existing plans. There is minimal attempt at simulation, no utilization of equipment or deployment of resources, and no time pressures. The success of these exercises is largely determined by group participation in the identification of problem areas. They provide an excellent format to use in familiarizing newly assigned/appointed personnel and senior officials with established or emerging concepts and/or plans, policies, procedures, systems, and facilities.

(2) *Drills* are a coordinated, supervised activity normally used to exercise a single specific operation or function in a single agency. They are also used to provide training with new equipment, to determine the need for new policies or procedures, or to practice and maintain current skills.

(3) *Functional Exercises* are fully simulated interactive exercises. They validate the capability of an agency to respond to a simulated emergency testing one or more functions of the plans. They focus on policies, procedures, roles and responsibilities of single or multiple emergency functions before, during, or after any emergency event.

(4) *Full-Scale Exercises* simulate actual emergency conditions. They are field exercises designed to evaluate the operational capabilities of the agency's COOP in a highly stressful environment. This realism can be accomplished through mobilization and actual movement of agency emergency personnel, equipment, and resources.

The evaluation of an exercise should identify systemic weaknesses and suggest corrective actions that will enhance agency preparedness. Following an exercise, a comprehensive

debriefing and after-action report should be completed. All data collected for the TT&E program should be incorporated into a remedial action plan that provides input for annual COOP revisions. A No-Fault (e.g., non-punitive) Concept should be utilized during all exercises.

12. **RESPONSIBILITIES.** The following responsibilities should be clearly outlined in agency COOP test, training, and exercise guidance:

a. Each agency head is responsible for:

(1) Developing and implementing a multi-year strategy and program management plan including a budgeting plan for identifying resource requirements necessary to support its TT&E program.

(2) Maintaining a roster of fully equipped and trained emergency personnel with the authority to perform essential functions and activities.

(3) Developing, initiating, and conducting tests, training, and exercises that will:

- Test their alert and notification plan quarterly, with and without warning, during duty and non-duty hours;
- Train all members of their team and ensure their knowledge and skills are current;
- Exercise COOP plans and procedures annually; and
- Identify and incorporate lessons learned/remedial action plan into annual revisions of the COOP Plan.

b. In addition, GSA is responsible for:

(1) Developing and implementing a plan, in coordination with FEMA, to issue periodic guidance to agencies on training to promote understanding of, and compliance with, the requirements and objectives of governing directives;

(2) Developing and conducting a COOP Training Course that is available to all agencies; and,

(3) Coordinating with FEMA to maintain and revise this FPC as required.

c. In addition, FEMA is responsible for:

(1) Serving as the Executive Agent for Federal Executive Branch COOP;

(2) Issuing COOP guidance, in cooperation with the GSA, to promote understanding of and compliance with the requirements and objectives of governing directives;

(3) Coordinating Federal Executive Branch interagency COOP exercises as outlined in FPC 65;

(4) Coordinating the development of a multiyear schedule of interagency exercises to be conducted among the Federal Executive Branch agencies;

(5) Providing guidance, in cooperation with GSA, that imparts methodologies for designing, developing, conducting, and evaluating exercises, to include a corrective action program;

(6) Ensuring a cohesive COOP integration with COG activities and other emergency teams as appropriate; and

(7) Conducting periodic assessments.

13. **DISTRIBUTION.** This FPC is distributed to the heads of Federal Executive Branch departments and agencies, senior policy officials, emergency planners, and other interested parties.

Joe M. Albaugh
Director

FEDERAL PREPAREDNESS CIRCULAR
Federal Emergency Management Agency
Washington, D.C. 20472

FPC 67

April 30, 2001

TO: HEADS OF FEDERAL DEPARTMENTS AND AGENCIES

SUBJECT: ACQUISITION OF ALTERNATE FACILITIES FOR CONTINUITY OF OPERATIONS (COOP).

1. **PURPOSE.** This Federal Preparedness Circular (FPC) provides guidance to Federal Executive Branch departments and agencies for use in acquiring alternate facilities to support their COOP. COOP planning facilitates the performance of department/ agency essential functions during any emergency or situation that may disrupt normal operations. This document is designed to be a supplement to FPC 65, Federal Executive Branch Continuity of Operations (COOP), dated July 26, 1999.

2. **APPLICABILITY.** The provisions of this FPC are applicable to all Federal Executive Branch departments, agencies, and independent organizations (collectively, agencies).

3. **AUTHORITIES.**

   a. The National Security Act of 1947, dated July 26, 1947, as amended.

   b. Executive Order (EO) 12148, Federal Emergency Management, dated July 20, 1979, as amended.

   c. EO 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, dated April 3, 1984.

   d. EO 12656, Assignment of Emergency Preparedness Responsibilities, dated November 18, 1988, as amended.

   e. Presidential Decision Directive (PDD) 67, Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998.

4. **REFERENCES.**

   a. PDD 62, Protection Against Unconventional Threats to the Homeland and Americans Overseas, dated May 22, 1998.

   b. PDD 63, Critical Infrastructure Protection (CIP), dated May 22, 1998.

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c. Federal Preparedness Circular (FPC) 60, Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies, dated November 20, 1990.

d. FPC 65, Federal Executive Branch Continuity of Operations (COOP), dated July 26, 1999.

e. Title 41 Code of Federal Regulations (CFR), Section 101.20.103-4, Occupant Emergency Program, revised as of July 1, 2000.

f. Title 36 CFR, Part 1236, Management of Vital Records, revised as of July 1, 2000.

5. **POLICY.** It is the policy of the United States to have in place a comprehensive and effective program to ensure continuity of essential Federal functions under all circumstances. As a baseline of preparedness for the full range of potential emergencies, all Federal agencies shall have in place a viable COOP capability, which ensures the performance of their essential functions during any emergency or situation that may disrupt normal operations. Inherent in this policy is a requirement for all Federal agencies to designate alternate operating facilities as part of their COOP planning responsibilities.

6. **BACKGROUND.** The changing threat environment and recent emergencies have focused awareness on the need for COOP capabilities that enable agencies to continue their essential functions during a broad spectrum of emergencies. Also, the potential for terrorist use of weapons of mass destruction has emphasized the need to provide the President the ability to ensure continuity of essential government functions across the Federal Executive Branch.

   To provide a focal point to orchestrate this expanded effort, PDD 67 established the Federal Emergency Management Agency (FEMA) as the Executive Agent for Federal Executive Branch COOP. Inherent in this role is FEMA's responsibility to formulate guidance for agencies to use in developing viable, executable COOP plans; facilitate interagency coordination; and oversee and assess the status of COOP capability across the Federal Executive Branch.

   On July 26, 1999, FEMA published FPC 65 to provide COOP guidance to the Federal Executive Branch. In accordance with PDD 67, FPC 65 required all agencies to designate alternate operating facilities as part of their COOP plans and prepare their personnel for the possibility of unannounced relocation of essential functions and/or COOP contingency staffs to these facilities should an emergency necessitate that action. FPC 65 advised that these facilities could be identified from existing agency local or field infrastructures or external sources, and should be capable of supporting emergency operations in a secure environment, as determined by the geographical location of the facility, a favorable assessment of the local threat, and/or the collective protection characteristics of the facility.

7. **OBJECTIVES.** The essence of COOP planning is to assure that the capability exists to continue essential agency functions across a wide range of potential emergencies. An integral part of COOP planning is securing an alternate facility(ies) from which to continue essential agency functions should the primary facility be rendered unusable. The objectives for acquiring an alternate facility include:

   a. Ensuring that agencies have a facility from which to continue to perform their essential functions/operations during an emergency;

   b. Reducing or mitigating disruptions to operations;

   c. Achieving a timely and orderly recovery from an emergency and resuming full service to customers.

8. **PLANNING CONSIDERATIONS.** The following guidance is provided for the identification and preparation of alternate facilities for relocated operations.

   a. Location of facilities. Organizations should perform a risk analysis of their current operating facility and consider all possible scenarios that could require a COOP relocation (e.g., fire, flood, potential threat of terrorism, tactical attack on Washington, DC). Alternate facilities should be located in an area where the ability to initiate, maintain, and terminate operations is not disrupted. Maximum use should be made of existing field infrastructures and consideration should be given to other options, such as telecommuting locations, work-at-home, virtual offices, and joint or shared facilities. Additionally, decisions concerning alternate facility locations should take into consideration the following:

      (1) The ability to be operational not later than 12 hours after activation and to sustain operations for up to 30 days;

      (2) The distance from the threat area of any other facilities/locations (e.g., hazardous materials, areas subject to natural disasters, or civil unrest);

      (3) Access to essential resources such as food, water, fuel, medical facilities, and municipal services (e.g., fire, police); and

      (4) The availability of surface and/or air transportation.

   b. Construction. Since the alternate facility will be located at a sufficient distance from the affected facility and in an area reasonably free from other risks, no specific construction requirements are identified. At a minimum, the facility should be constructed such that it is not uniquely susceptible to natural disaster risk factors (e.g., earthquakes, tornadoes, hurricanes, floods, etc.).

   c. Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU). If the facility is not owned or leased by the organization, an MOA/MOU should be established with the owner or occupant of the facility. If General Services Administration (GSA) is to provide relocation sites, an MOA/MOU must be

established with GSA. MOA/MOUs should include the following:

(1) Time period from notification of requirement to availability of facility for occupancy;

(2) Space and services to be provided; and

(3) Sole use of allocated space during the period of occupancy.

c. Space. Sufficient space should be available for relocated staff; contiguous space is desirable, however, non-contiguous space might be acceptable if adequate communications are in place to ensure effective operations of the relocated organization.

d. Billeting. If the alternate facilities are located at a distance from the primary site, plans should be developed to address housing for emergency staff (e.g., billeting within facility, local motels).

e. Site Transportation. Transportation resource requirements, if any, should be met at the relocation sites (e.g., buses, automobiles).

f. Communications. Communications should be provided in sufficient quantity and mode/media to effectively interface with other organizational elements (e.g., regional offices), other departments and agencies, and other government and private sector organizations (including key operations centers) critical to the performance of organization mission essential functions. Secure/nonsecure communication requirements should be incorporated as required.

g. Security. Sufficient personnel should be designated to provide perimeter, access, and internal security functions as required by organization policy and operations.

h. Life Support. Most life support items should be available from external sources (e.g., food, water, medical services, sanitation, power); however, if not, they need to be contained in the facility in sufficient quantities for the anticipated duration of operations. In addition, items such as unique medical supplies, medical records and housekeeping supplies should be brought to the facility with the relocated personnel or maintained in the facility.

9. **THE ACQUISITION PROCESS.** The alternate facilities acquisition process can vary depending on the organization, its requirements, and its mission. The term alternate facility can include anything from a borrowed conference room for a few key people on a temporary basis, to a complete turn-key facility to house the entire organization. The size and scope of the alternate facility is dependent upon the individual agency, its identified essential functions, and its available budget. Facility requirements, selection and occupancy planning should include provisions for a worst case scenario.

The alternate facility acquisition process consists, at a minimum, of three steps: Alternate Facilities Requirements Identification; Candidate Alternate Facilities Selection and Acquisition; and Alternate Facility Reevaluation.

a. Alternate Facilities Requirements Identification. During this step, an agency should address what type and size of facility is needed to carry out its minimum essential functions. To help with this process, GSA has developed a questionnaire. A copy of this questionnaire may be obtained by contacting the Emergency Coordinator in the Emergency Management Office, General Services Administration, 1800 F Street, NW, Room B-39, Washington, D.C., 20405. At a minimum, the following questions should be addressed:

(1) What are the minimum essential functions necessary to keep the agency operational for 30 days or until the emergency ends?

(2) How many personnel per shift will be required to accomplish these functions for 30 days or until the emergency ends?

(3) What is the minimum amount of space these employees need to accomplish their functions under emergency conditions?

(4) Will all emergency personnel be needed at the alternate facility from the start of the emergency, or can they be time-phased in their arrival?

(5) How will personnel travel to the alternate facility?

(6) What are the power and communications requirements for the facility?

(7) What are the equipment and furniture requirements for the facility?

b. Candidate Alternate Facilities Selection and Acquisition. In this step, an agency should consider any and all possibilities for identifying and obtaining an alternate facility. Some of these options are as follows:

(1) Existing Agency Space.

(a) Remote/Offsite Training Facilities. This could be an agency training facility that is located nearby, but far enough away to provide for geographical dispersion;

(b) Regional or Field Offices. Some agencies may have a Regional Office or a Field Office nearby that could operate as an alternate facility; and

(c) Remote Headquarters Operations. Some agency headquarters are of such size that their operations and facilities extend beyond the Washington, D.C., city limits. One of these locations could act as an alternate facility.

(2) Virtual Offices.

(a) Work at Home. Several agencies have programs to allow employees to work from home. This arrangement could be utilized for some employees to fulfill their mission-essential functions;

(b) Telecommuting Facilities. Several areas of the country have federally funded telecommuting facilities. These facilities could accommodate some personnel on a prearranged reimbursable basis so that they can fulfill their mission-essential functions; and

(c) Mobile Office Concept. This concept envisions using such assets as a specially equipped vehicle that can serve as an office, or laptop computers that communicate via cellular or satellite technology.

(3) MOA/MOU For Co-Location With Another Agency. These are arrangements where one agency relocates to another agency's facilities. The relocating agency could occupy available space in the other agencies headquarters, training facility, field office, or other available agency space.

(4) Acquisition of An Agency Specific Alternate Facility.

(a) Agency Procured and Maintained Space. For this option, the agencies that have authority to procure their own space may do so to meet their alternate facility requirements.

(b) GSA Procured and Maintained Space. An agency could request GSA to assign Federally owned or leased space to accommodate their alternate facility needs.

(5) Another Agency Procured and Maintained Space. Some agencies (other than GSA) offer space procurement services that could be used by agencies to fulfill their needs for an alternate facility.

(6) Participation in a Joint-Use Alternate Facility.

(a) Single-Use Total Space, Multi-Use Limited Space. Several agencies could pool their resources to acquire space for an alternate facility. If a COOP incident occurred, the affected agency would relocate to the facility. However, if the incident affected several or all of the agencies, there might not be sufficient space available to accommodate all;

(b) Multiple Agencies, Individual Spaces. An agency could decide to co-locate with another agency (ies), but each would have individually designated space to meet their alternate facility needs; and

(c) Multiple Uses (COOP/Telecommute/Training). An agency could acquire an alternate facility, but ordinarily use it for purposes other than COOP. For instance, an agency could use the facility as a remote telecommuting facility or as a remote training facility.

c. Alternate Facility Reevaluation. Any alternate facility identified must be reevaluated periodically for suitability and functionality. This is recommended whenever the agency's COOP is reviewed and updated to ensure that the alternate facility still meets the needs as determined by the agency's plan.

10. THE REPORTING PROCESS. As directed in PDD-67, a central database of all alternate facilities will be created and maintained. GSA has been tasked with creating and maintaining this database. All agencies are required to identify an alternate facility and provide the necessary data concerning the facility to GSA. To facilitate the reporting process, GSA has developed an information sheet. To obtain a copy of this information sheet, please contact the Emergency Coordinator in the Emergency Management Office, General Services Administration. The information sheet should be completed and returned to this GSA office.

11. RESPONSIBILITIES.

a. Each agency is responsible for:

(1) Designating alternate operating facilities as part of its COOP plan;

(2) Acquiring and equipping such facilities to include, at a minimum, food, billeting, communications and transportation (if unavailable from external sources). Agencies are encouraged to consider cooperative interagency agreements and to share alternate facilities;

(3) Submitting facility information to GSA as required under paragraph 10 above;

(4) Notifying GSA when an alternate facility is relinquished;

(5) Submitting to GSA the names and titles of those individuals who may be contacted concerning the agency's facility; and

(6) Developing and implementing a multi-year strategy and management plan (i.e., budgeting plan) to acquire, equip, maintain, and improve/modernize the facility.

b. In addition to the above, GSA is responsible for:

(1) In cooperation with FEMA, developing and implementing a plan to ensure all agencies identify alternate facilities in support of COOP;

(2) Creating and maintaining a database of these facilities; and

(3) Coordinating with FEMA to maintain and revise this FPC as required.

c. In addition to the above, FEMA is responsible for in cooperation with GSA, issuing COOP guidance to promote understanding of, and compliance with, the requirements and objectives of PDD 67.

12. **DISTRIBUTION:** This FPC is distributed to the heads of Federal departments and agencies, senior policy officials, emergency planners, and other interested parties.

Joe M. Albaugh
Director

FEDERAL PREPAREDNESS CIRCULAR

Federal Emergency Management Agency
Washington, D.C. 20472

FPC 8

June 22, 1989

TO: HEADS OF FEDERAL DEPARTMENTS AND AGENCIES

SUBJECT: Public Affairs in Emergencies

1. Purpose. This Federal Preparedness Circular (FPC) provides guidance to Federal departments and agencies and their counterparts at the State and local levels for the management of public affairs during the full range of domestic and national security emergencies.

2. Applicability and Scope. The provisions of this FPC are applicable to Federal departments and agencies with assigned responsibilities under Executive Order 12656.

3. Supersession. The provisions of this FPC supersede FPC-8, Public Affairs in Emergencies, dated August 14, 1984.

4. Authorities.

a. Federal Civil Defense Act of 1950, as amended.

b. Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law (PL) 93-288, as amended by PL 100-707.

c. Executive Order 12656 of November 18, 1988, Assignment of Emergency Preparedness Responsibilities.

d. Executive Order 12657 of November 18, 1988, Federal Emergency Management Agency Assistance in Emergency Preparedness Planning at Commercial Nuclear Power Plants.

e. Executive Order 12148 of July 20, 1979, Federal Emergency Management, as amended by Executive Order 12673 of March 23, 1989, Delegation of Disaster Relief and Emergency Assistance Functions.

5. Summary. Individual Federal departments and agencies are responsible for publicly disseminating emergency information in their areas of responsibility. The Federal Interagency Committee on Public Affairs in Emergencies (ICPAE) is established to coordinate public information planning and operations for management of emergencies. One or more Joint Information Centers (JIC's) may be established as needed as a means for temporary, incident-specific coordinated response.

Distribution: B(HqDivChiefs)
F(FldDivChiefs)
Emergency Coordinators

6. References.

a. National System for Emergency Coordination (NSEC), approved by the President in January 1988, and disseminated on January 19, 1988, by the Chairman Pro Tempore of the Domestic Policy Council.

b. Functional Response to National Security Emergencies, memorandum of June 27, 1988 from the Assistant to the President for National Security Affairs to the Heads of Federal departments and agencies.

7. Definitions.

a. Emergency. Defined in Section 102(1) of the Stafford Act as: "any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States."

b. Major Disaster. Defined in Section 102(2) of the Stafford Act as "any natural catastrophe (including any hurricane, tornado, storm, high water, winddriven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm or drought) or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby."

c. National Security Emergency. Defined in Executive Order 12656, Section 101, as: "any occurrence, including natural disaster, military attack, technological emergency, or other emergency, that seriously degrades or seriously threatens the national security of the United States."

8. Background.

a. The Federal Civil Defense Act of 1950, as amended, Section 201(f), mandates FEMA to: "publicly disseminate appropriate civil defense information by all appropriate means."

b. The Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 201(a), authorizes the President to establish a program of disaster preparedness that utilizes services of all appropriate agencies. Section 303 of that Act authorizes the President, during Presidentially declared disasters or emergencies, to direct Federal departments and agencies to provide emergency support personnel to help State and local governments. This normally includes public information support personnel. The President's authorities under this law have been delegated to the Director of FEMA under Executive Order 12148 of July 20, 1979, as amended by Executive Order 12673 of March 23, 1989.

c. Executive Order 12656, Section 101, states: "Policy for national security emergency preparedness shall be established by the President.

Pursuant to the President's direction, the National Security Council shall be responsible for developing and administering such policy. ...Effective national security emergency preparedness planning requires: identification of functions that would have to be performed during such an emergency; development of plans for performing these functions; and development of the capability to execute those plans."

d. Executive Order 12656, Section 104(c) also states: "The Director of the Federal Emergency Management Agency shall serve as an advisor to the National Security Council on issues of national security emergency preparedness, including mobilization preparedness, civil defense, continuity of government, technological disasters, and other issues, as appropriate. Pursuant to such procedures for the organization and management of the National Security Council process as the President may establish, the Director of the Federal Emergency Management Agency also shall assist in the implementation of national security emergency preparedness policy by coordinating with the other Federal departments and agencies and with State and local governments, and by providing periodic reports to the National Security Council on implementation of national security emergency preparedness policy."

e. Executive Order 12656, Section 201(2), requires the head of each Federal department and agency to develop "emergency plans and programs, and an appropriate state of readiness, including organizational infrastructure, ... as an integral part of the continuing activities of each Federal department and agency." Section 201(15) requires that the departments and agencies "consult and coordinate with the Director of the Federal Emergency Management Agency to ensure that those activities and plans are consistent with current National Security Council guidelines and policies." Section 201(11) calls on Federal departments and agencies to "develop programs regarding congressional relations and public information that could be used during national security emergencies." Section 201(13) directs that they "develop and conduct training and education programs that incorporate emergency preparedness and civil defense information necessary to ensure an effective national response."

f. Executive Order 12657 instructs the Director of FEMA in Section 3(b)(2) ..."to ensure the creation and maintenance of channels of communication from commercial nuclear power plant licensees or applicants to State and local governments and to surrounding members of the public."

g. Reference (a), the National System for Emergency Coordination (NSEC), is a generic response system which describes itself as " ... ensuring that the Federal Government provides timely, effective, and coordinated assistance to States and local governments in extreme catastrophic technological, natural or other domestic disasters of national significance. Responsibilities currently assigned to Federal departments and agencies by statute or other authority, and existing emergency management systems and capabilities, are an integral part of this response system and will be used when possible."

h. Reference (b), Functional Response to National Security Emergencies, describes as its purpose "...to develop a National Security Emergency Plan with a functionally oriented structure (such as NSEC's) as a companion approach to national security emergencies. This will ensure a consistent response by the Federal Government regardless of the nature of an emergency and will eliminate the need to change response mechanisms in the midst of a crisis."

9. Public Information Needs. The purpose of public information is to convey the following types of information to the news media and the public regarding actual or potential emergency situations:

a. Accurate and timely information on the emergency's scope and nature;

b. Lifesaving information directed towards the survival of persons or families; and

c. The impact of a national security emergency situation on the military, industrial, economic, infrastructure, human, governmental, and civil preparedness resources of the Nation and mobilization actions which are being taken in each of these areas. Examples include:

(1) Plans for military support of civil authorities and redirection of civil resources to military uses;

(2) Information intended to enlist public support for increased industrial production efforts and for necessary economic measures;

(3) Information intended to encourage the public to produce more and use sparingly goods or services produced by systems such as energy, transportation, communications, and other infrastructure resources;

(4) Information on the nature and location of essential jobs, training, and the necessities of life such as food, housing, and medical care;

(5) Governmental activities in managing the emergency situation; and

(6) Civil preparedness measures such as warning and communications, relocation to safe areas, and other human needs.

10. Coordination of Public Information Systems.

a. Coordination of public information involves providing the mechanism to effect interagency cooperation and procedures to ensure Federal department and agency emergency plans, policies, and issuances are compatible with one another and with Federal Government emergency mobilization objectives.

b. Individual Federal departments and agencies are responsible for public dissemination of emergency information in their respective areas of responsibility. An ICPAE, composed of public affairs representatives of Federal departments and agencies, is established as a permanent body to plan and coordinate Federal emergency public information activities during emergencies. The chairman of the ICPAE is the Press Secretary to the President, or official designee. FEMA serves as an executive secretariat.

c. The ICPAE provides a mechanism to effect civil and military interagency coordination in the public affairs area to meet emergency public information needs. It establishes a means to ensure the Federal Government speaks in a major emergency with authoritative, clear, and factual information in consonance with State and local emergency managers. The ICPAE is responsible for the following:

(1) Provides an interagency coordinating mechanism for planning and development of materials to improve dissemination of emergency public

information to the news media and the general public, and to exchange information among Federal department and agency members;

(2) Provides a means to augment public affairs personnel to disseminate authoritative information to the news media and the public during emergencies, and to arrange for training in support of this activity; and

(3) Provides advice and assistance on public affairs to senior officials managing emergency situations.

11. Phases of Public Affairs Operations. Outlined in the following subparagraphs are the types of public affairs activities which should take place during various phases of emergency management:

a. Normal Operations. During nonemergency operations, public affairs offices of Federal departments and agencies should be engaged in normal program support activities and in development of standby emergency public information plans and informational materials. The ICPAE should ensure standby emergency plans and informational materials are compatible with one another, with those of State and local emergency managers, and voluntary organizations. The ICPAE should also ensure that emergency plans are compatible with the functional response mechanism described in subparagraphs 6 (a) and (b).

b. Preparation for Emergencies. Federal departments and agencies should bring emergency plans and informational materials in their areas of responsibility to an advanced state of preparedness, as indicated in Section 10(c). Except for any legal constraints on types of emergencies set forth in subparagraphs 10c(1) through (6), Federal public affairs emergency activities may be expanded and augmented by disaster reservists, National Defense Executive Reservists, or other trained public information personnel.

c. Emergencies. A coordinated interagency Joint Information System (JIS) may be implemented during major domestic disasters or emergencies, or national security emergencies. JIS would be composed of emergency personnel, facilities, equipment and procedures for providing coordinated, timely and accurate information to the news media during an emergency. The function of the JIS may be achieved in a specific incident by activating a Joint Information Center (JIC), which may be linked by coordinating arrangements to emergency officials at one or more other information releasing locations. A field JIC would normally be near the emergency site. Depending on whether the emergency were site-specific or not, a national JIC might be located in Washington, DC.

(1) In a national security emergency, the JIS would be activated only at White House direction. This would be done to:

(a) Set up an information/coordination mechanism to handle specialized emergency information; and/or

(b) Relieve the White House information entities from handling a heavy volume of secondary civil emergency information, and to provide a central location for White House public affairs direction to all Federal departments and agencies.

(2) In a national security emergency, the lead public affairs department or agency will be determined by the Press Secretary to the President.

(3) In a domestic emergency, which requires a substantial Federal presence (e.g., a nuclear power plant accident or nuclear weapons accident), the Cognizant Federal Agency (CFA) would assume the lead under existing Federal interagency plans and/or Memoranda of Understanding unless superseded by White House direction or the provisions of Executive Order 12657.

(4) In a local, domestic emergency in which the Federal Government's presence is in support of State and local governments exercising their responsibility for public health and safety, Federal public affairs plans and systems would supplement but not supplant primary State and local public information response plans. The FCO, normally a senior FEMA official, would be responsible for coordinating Federal public affairs activities with those of State and local governments in disasters declared under the Stafford Act, and would have mission authority. In other situations, the FCO would be a senior official of the CFA, and the lead public affairs officer would be from the CFA, except in emergencies at a nuclear power plant of a nature to cause activation of powers under Executive Order 12657.

(5) When the JIC is located in the field, FEMA is also responsible for coordinating information with State and local officials, emergency managers, and others. However, primary responsibility for information dissemination in a State rests with the State Governor; any non-Federal information would normally be released by the JIC only in cooperation with the Governor or official designee.

(6) In cases where a local or State public information center has already been established prior to the arrival of Federal personnel, the JIC should be located so it can supplement the local or State center. If practicable, Federal information coordination functions should be integrated into the local or State facility.

d. Recovery. During recovery, ICPAE efforts should be directed towards providing the public with information to assist in recovery, and for return to normal conditions.

12. Responsibilities.

a. The Federal Emergency Management Agency (FEMA). The Director, FEMA, is responsible (except as previously noted) for the following:

(1) Coordinating Federal response to a domestic disaster or emergency, or national security emergency, requiring interagency cooperation and/or Federal coordination with State and local emergency managers;

(2) Serving as Executive Secretary for the ICPAE, facilitating development of emergency public information plans by Federal departments and agencies by functioning as a clearinghouse and distribution point for exchange of documents and information; and

(3) Disseminating coordinated public information by all appropriate means consistent with current procedures and guidelines established by statute,

Executive order, existing interagency agreements, Memoranda of Understanding, policy memoranda such as references listed in subparagraphs 6 (a) and (b), and by the ICPAE Chairman, under provisions of this FPC.

b. The Heads of Other Federal Departments and Agencies. The heads of other Federal departments and agencies are responsible for the following:

(1) Publicly disseminating information in their respective areas of responsibility on domestic and national security emergencies in accordance with established statutes, Executive orders, existing interagency agreements and Memoranda of Understanding, NSEC, and the ICPAE Chairman, under provisions of this FPC;

(2) Developing emergency public information plans and systems within policy and guidelines established by the ICPAE, and providing copies to the ICPAE for the information of other Federal agencies, State and local governments; and

(3) Providing public information staff to support emergency response plans, including an interagency JIC, when needed.

13. Distribution. This FPC is distributed to heads of other Federal departments and agencies, Emergency Coordinators, and other interested parties.

Julius W. Becton, Jr.
Director

GENERAL SERVICES ADMINISTRATION
WASHINGTON, D. C. 20405

September 6, 1977

FEDERAL PREPAREDNESS CIRCULAR FPC-12

TO : Heads of Federal departments and agencies

SUBJECT: Federal regional reconstitution areas

1. Purpose. This circular provides basic guidance and direction to Federal departments and agencies for the identification, selection, and designation of Federal Regional Reconstitution Areas (FRRA's). For purpose of this circular, an FRRA is defined as a geographic area within reasonable proximity to the center of existing Federal activities, which, subject to postattack damage assessment, may possess physical facilities suitable to support the Federal reconstitution requirements of a Federal region.

2. Cancellation. OEP Circular 9100.3 is canceled.

3. Background. As the result of an attack on the United States, Federal offices in the Standard Federal Regional Council Cities (SFRCC's), and other regularly established offices, may be untenable, destroyed, or otherwise unsuitable for regional reconstitution activities. Further, the Federal Regional Centers, while suitable for emergency regional management during the preattack, transattack, and immediate postattack periods, do not provide an adequate base for supporting full reconstitution of regional level activities. In order to facilitate regional reconstitution and recovery following a nuclear attack, it is essential that those geographic areas within each standard region that possess the potential characteristics to support such reconstitution be identified.

4. Applicability and scope. The provisions of this circular apply to all Federal departments and agencies with emergency responsibilities in Executive Order 11490, as amended.

5. Policies and procedures.

a. Policy. It is the policy of the Federal Government to develop and maintain plans and programs designed to

provide for the rapid restoration of a national governmental capability to assist in the full recovery or reconstitution of society after a massive nuclear attack on the United States. Essential to this restoration effort is the rapid reestablishment of a Federal regional level of management. Fundamental to compliance with this policy, should the regular office be untenable due to attack damage, is the continuing requirement to identify those areas that, following an attack, have the potential to support regional reconstitution.

b. Procedures.

(1) As soon as feasible during the immediate post-attack period, an assessment will be made by the Federal Preparedness Agency (FPA) Regional Director in coordination with other senior Federal officials to determine which of the surviving FRRA's within the region has the most suitable capability to support regional reconstitution. If none has survived, other areas will be assessed and a determination made. Based upon these findings, recommendations as to the most suitable location for reconstitution will be submitted to the Director, Federal Preparedness Agency, GSA.

(2) Planning for reconstitution, following an attack on the United States, must provide for incremental expansion of activities to accommodate the full range of Federal programs applicable to the situation and administered at the regional level.

(3) To facilitate reconstitution and recovery, it is essential that Federal regional level activities be coordinated from one geographic location. However, the necessity for coordination does not preclude reconstitution of some activities at other geographic locations to meet special needs. In such cases liaison with the central regional reconstitution location must be established.

6. Responsibilities.

a. Federal Preparedness Agency. FPA Regional Directors on a continuing basis and in coordination and consultation with senior representatives of each Federal regional level organization will:

(1) Identify specific geographic areas within their respective regions that possess suitable characteristics to support regional reconstitution. The following broad selection criteria will be used in the identification of specific areas for potential designation as FRRA's:

(a) Proximity to the center of existing Federal activities;

(b) Communications, including access to media and telecommunications;

(c) Transportation capability within the potential FRRA and to other locations within the standard Federal Region;

(d) Accessibility of the potential area to sources of food, water, housing, and medical care;

(e) Availability of a professional and administrative work force;

(f) Availability and adaptability of the area for working and living accommodations for a reconstitution work force; and

(g) HAZARD study findings;

(2) Develop and maintain informational files which identify specific areas for designation as potential FRRA's. One copy of each information file will be maintained at the appropriate Federal Regional Center. One copy will be submitted to FPA in the GSA Central Office; and

(3) Assess, as soon as feasible during or following the immediate postattack period, the capability of each surviving FRRA within their region to support Federal regional reconstitution and notify selected departments and agencies of reconstitution planning.

b. Federal departments and agencies. The senior representative of each regional level organization, designated by the appropriate national level authority as a member of the Regional Preparedness Committee, shall:

(1) Provide technical assistance and support to the FPA Regional Director in the identification and selection of proposed FRRA's;

(2) Develop plans for reconstitution of their regional organizations, based upon guidance provided by their national office; and

(3) Implement, when advised by competent authority, reconstitution plans in the selected FRRA.

ROBERT T. GRIFFIN
Acting Administrator

GSA DC 77-8333

FEDERAL PREPAREDNESS CIRCULAR

Federal Emergency Management Agency
Washington, D.C. 20472

FPC 65

July 26, 1999

TO: HEADS OF FEDERAL DEPARTMENTS AND AGENCIES

SUBJECT: FEDERAL EXECUTIVE BRANCH CONTINUITY OF OPERATIONS (COOP)

1. **PURPOSE:** This Federal Preparedness Circular (FPC) provides guidance to Federal Executive Branch departments and agencies for use in developing viable and executable contingency plans for the continuity of operations (COOP). COOP planning facilitates the performance of department/agency essential functions during any emergency or situation that may disrupt normal operations.

2. **APPLICABILITY AND SCOPE:** The provisions of this FPC are applicable to all Federal Executive Branch departments, agencies, and independent organizations, hereinafter referred to as "agencies." While some of the language contained in this guidance focuses on planning for threats to the immediate Washington, D.C., area, the COOP elements outlined herein are for use at all levels of Federal Executive Branch organizations.

3. **SUPERSESSION:** The provisions of this FPC supersede:

   a. Federal Response Planning Guidance 01-94, Continuity of Operations (COOP), dated December 4, 1994.

   b. FPC 61, Emergency Succession to Key Positions of the Federal Departments and Agencies, dated August 2, 1991.

   c. FPC 62, Delegation of Authorities for Emergency Situations, dated August 1, 1991.

4. **AUTHORITIES:**

   a. The National Security Act of 1947, dated July 26, 1947, as amended.

   b. Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities dated November 18, 1988, as amended.

   c. Executive Order (EO) 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, dated April 3, 1984.

   d. Executive Order (EO) 12148, Federal Emergency Management, dated July 20, 1979, as amended.

   e. Presidential Decision Directive (PDD) 67, Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998.

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8. **OBJECTIVES:** COOP planning is an effort to assure that the capability exists to continue essential agency functions across a wide range of potential emergencies. The objectives of a COOP plan include:

   a. Ensuring the continuous performance of an agency's essential functions/operations during an emergency;

   b. Protecting essential facilities, equipment, records, and other assets;

   c. Reducing or mitigating disruptions to operations;

   d. Reducing loss of life, minimizing damage and losses; and,

   e. Achieving a timely and orderly recovery from an emergency and resumption of full service to customers.

9. **PLANNING CONSIDERATIONS:** In accordance with current guidance, a viable COOP capability:

   - Must be maintained at a high level of readiness;
   - Must be capable of implementation both with and without warning;
   - Must be operational no later than 12 hours after activation;
   - Must maintain sustained operations for up to 30 days; and,
   - Should take maximum advantage of existing agency field infrastructures.

   Agencies should develop and maintain their COOP capabilities using a multi-year strategy and program management plan. The plan should outline the process the agency will follow to designate essential functions and resources, define short and long-term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones.

10. **ELEMENTS OF A VIABLE COOP CAPABILITY:** At a minimum, all agency COOP capabilities shall encompass the following elements:

    a. PLANS AND PROCEDURES. A COOP plan shall be developed and documented that when implemented, will provide for continued performance of essential Federal functions under all circumstances. At a minimum, the plan should:

       (1) Delineate essential functions and activities;

       (2) Outline a decision process for determining appropriate actions in implementing COOP plans and procedures;

       (3) Establish a roster of fully equipped and trained emergency personnel with the authority to perform essential functions and activities;

       (4) Include procedures for employee advisories, alerts, and COOP plan activation, with instructions for relocation to pre-designated facilities, with and without warning, during duty and non-duty hours;

       (5) Provide for personnel accountability throughout the duration of the emergency;

- Order equipment/supplies, if not already in place;
- Transport documents and designated communications, automated data processing, and other equipment to the alternate operating facility(ies), if applicable;
- Secure the normal operating facility physical plant and non-moveable equipment and records, to the extent possible;
- Continue essential operations at the normal operating facility if available, until alternate facility(ies) is operational; and,
- Advise alternate operating facility manager(s) on the status of follow-on personnel.

b. PHASE II—ALTERNATE FACILITY OPERATIONS (12 HOURS – TERMINATION)

- Provide amplifying guidance to other key staff and non-emergency employees;
- Identify replacements for missing personnel and request augmentation as necessary;
- Commence full execution of essential operations at alternate operating facility(ies);
- Notify the FOC and all other appropriate agencies immediately of the agency's alternate location, operational and communications status, and anticipated duration of relocation, if known; and,
- Develop plans and schedules to phase down alternate facility(ies) operations and return activities, personnel, records, and equipment to the primary facility when appropriate.

c. PHASE III—RECONSTITUTION (TERMINATION AND RETURN TO NORMAL OPERATIONS)

- Inform all personnel, including non-emergency personnel, that the threat of or actual emergency no longer exists, and provide instructions for resumption of normal operations;
- Supervise an orderly return to the normal operating facility, or movement to other temporary or permanent facility(ies) using a phased approach if conditions necessitate;
- Report status of relocation to the FOC and other agency points of contact (POC), if applicable; and,
- Conduct an after-action review of COOP operations and effectiveness of plans and procedures as soon as possible, identify areas for correction, and develop a remedial action plan.

12. RESPONSIBILITIES: The following responsibilities should be clearly outlined in agency COOP planning guidance and internal documents:

a. Each agency head is responsible for:

(1) Appointing an agency COOP program POC;

(2) Developing a COOP Multi-Year Strategy and Program Management Plan;

(7) Specify responsibilities and authorities of individual agency representatives designated to participate as members of interagency emergency response teams.

d. ORDERS OF SUCCESSION. Agencies are responsible for establishing, promulgating, and maintaining orders of succession to key positions. Such orders of succession are an essential part of an agency's COOP plan. Orders should be of sufficient depth to ensure the agency's ability to perform essential functions while remaining a viable part of the Federal Government through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to office in emergencies of all types. Each agency should:

(1) Establish an order of succession to the position of Agency Head. A designated official serves as acting head of the agency until appointed by the President or relieved. Where a suitable field structure exists, appropriate personnel located outside the Washington, D.C., area should be considered in the order of succession;

(2) Establish orders of succession to other key headquarters leadership positions;

(3) Establish, for agencies organized according to the standard Federal regional structure, an order of succession to the position of regional director or equivalent;

(4) Identify any limitation of authority based on delegations of authority to others;

(5) Describe orders of succession by positions or titles, rather than names of individuals;

(6) Include the orders of succession in the vital records of the agency;

(7) Revise orders of succession as necessary, and distribute revised versions promptly as changes occur;

(8) Establish the rules and procedures designated officials are to follow when facing the issues of succession to office in emergency situations;

(9) Include in succession procedures the conditions under which succession will take place; method of notification; and any temporal, geographical, or organizational limitations of authorities;

(10) Assign successors, to the extent possible, among the emergency teams established to perform essential functions, to ensure that each team has an equitable share of duly constituted leadership; and,

(11) Conduct orientation programs to prepare successors for their emergency duties.

e. ALTERNATE FACILITIES. All agencies shall designate alternate operating facilities as part of their COOP plans, and prepare their personnel for the possibility of unannounced relocation of essential functions and/or COOP contingency staffs to these facilities. Facilities may be identified from existing agency local or field infrastructures, or external sources. Facilities shall be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility, a favorable assessment of the local threat, and/or the collective protection characteristics of the facility. In acquiring

(1) Emergency Operating Records. Vital records, regardless of media, essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives; orders of succession; delegations of authority; staffing assignments; and related records of a policy or procedural nature that provide agency staff with guidance and information resources necessary for conducting operations during an emergency, and for resuming formal operations at its conclusion.

(2) Legal and Financial Records. Vital records, regardless of media, critical to carrying out an organization's essential legal and financial functions and activities, and protecting the legal and financial rights of individuals directly affected by its activities. Included are records having such value that their loss would significantly impair the conduct of essential agency functions, to the detriment of the legal or financial rights or entitlements of the organization or of the affected individuals. Examples of this category of vital records are accounts receivable; contracting and acquisition files; official personnel files; Social Security, payroll, retirement, and insurance records; and property management and inventory records.

Plans should account for identification and protection of the vital records, systems, and data management software and equipment, to include classified or sensitive data as applicable, necessary to perform essential functions and activities, and to reconstitute normal agency operations after the emergency. To the extent possible, agencies should pre-position and update on a regular basis duplicate records or back-up electronic files.

h. TESTS, TRAINING AND EXERCISES. Testing, training, and exercising of COOP capabilities is essential to demonstrating and improving the ability of agencies to execute their COOP plans. Training familiarizes contingency staff members with the essential functions they may have to perform in an emergency. Tests and exercises serve to validate, or identify for subsequent correction, specific aspects of COOP plans, policies, procedures, systems, and facilities used in response to an emergency situation. Periodic testing also ensures that equipment and procedures are maintained in a constant state of readiness. All agencies shall plan and conduct tests and training to demonstrate viability and interoperability of COOP plans. COOP test, training, and exercise plans should provide for:

(1) Individual and team training of agency COOP contingency staffs and emergency personnel to ensure currency of knowledge and integration of skills necessary to implement COOP plans and carry out essential functions. Team training should be conducted at least annually for COOP contingency staffs on their respective COOP responsibilities;

(2) Internal agency testing and exercising of COOP plans and procedures to ensure the ability to perform essential functions and operate from designated alternate facility(ies). This testing and exercising should occur at least annually;

(3) Testing of alert and notification procedures and systems for any type of emergency at least quarterly;