



Continuity of Operations (COOP) Briefing

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Overview

Continuity is a critical part of every organization's mission to ensure the continuation of their essential functions and services during a broad range of circumstances.

A wide range of threats and hazards continue to pose significant risks to the Nation, affirming the need for continuity capabilities at all levels of government, within the private sector, and among non-governmental and community-based organizations.

Federal continuity directives require all agency personnel remain familiar with continuity policy and ensure a general awareness of continuity program activities in the event they are called upon to assist during a continuity event.

This course will provide an overview of the fundamentals of a sound continuity capability and introduce you to the Continuity of Operations (COOP) Program at the FDIC. Additional training and exercise activities are conducted for those individuals designated as continuity personnel.



Course Objectives

At the end of this course, you will be able to:

- Define Continuity of Operations (COOP)
- Describe the importance of continuity planning
- Summarize the key elements of a sound COOP plan and program
- Describe COOP at the FDIC





Lesson 1: Continuity of Operations Overview

Continuity of Operations

Continuity of Operations (COOP) is a Federal initiative, required by Presidential directive, to ensure departments and agencies are able to perform their essential functions during disruption of normal operations.

Continuity of operations ensures the resiliency of an organization's functions.

As such, COOP is part of FDIC's fundamental mission. Today's changing threat environment has increased the need for continuity capabilities and plans at all levels of government and within the private sector.

To accomplish continuity of operations, departments and agencies develop and maintain a strategic Continuity of Operations (COOP) Plan.

Business continuity planning is a similar discipline. However, business continuity has different priorities such as revenue and a customer base.



Continuity of Government

Continuity of Government (COG) is an outcome of continuity of operations.

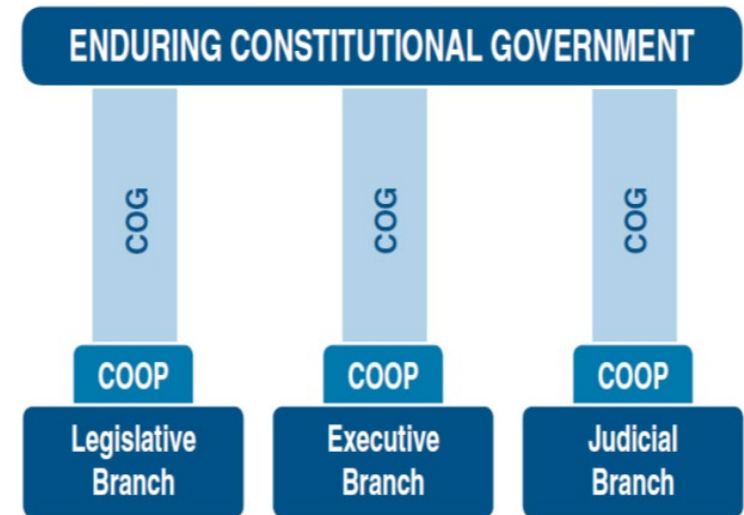
COG is a coordinated effort with the executive, legislative, and judicial branches to ensure that essential functions continue to be performed before, during, and after an emergency.

Successful COG planning and readiness preserve the statutory and constitutional authorities of elected and appointed officials at all levels of government in all circumstances. COG also establishes emergency powers during and after disasters.

For example, COG:

- Ensures the line of political succession in order to maintain the effective and constitutional operation of government
- Preserves a jurisdiction's authority to declare a state of emergency due to a catastrophic event

COG activities for the executive branch of government are managed by the Federal Emergency Management Agency (FEMA). Legislative and judicial branch COG activities are managed by the Architect of the Capital.



Essential Functions

What are essential functions?

- Essential functions are a subset of organizational functions that are the critical activities. These essential functions are then used to identify supporting tasks and resources that must be included in the organization's continuity planning process.
- In most organizations, not all functions are essential functions. Essential functions are those that are absolutely required for the organization to accomplish its mission.



Continuity Program Management

A comprehensive program helps prepare organizations and improve continuity plans.

Continuity Programs are:

- Supervised by Continuity Coordinators
- Managed by a Continuity Program Manager
- Supported and implemented through Continuity Planners and Continuity Working Groups

Typically, the working group can consist of representatives from each division. Representative examples include:

- Information Technology (IT)
- Facilities
- Leadership
- Finance
- Logistics

Working groups follow a program management cycle to develop and maintain capabilities.



Continuity Program Management Cycle

Continuity planning and program management provide consistency across programs and facilitate the development and implementation of resilient continuity programs.

- **Step 1:** Develop Plans and Procedures
- **Step 2:** Conduct Testing, Training, and Exercises
- **Step 3:** Develop Evaluations, After Action Reports (AARs), and Lessons Learned
- **Step 4:** Develop Improvement Plans

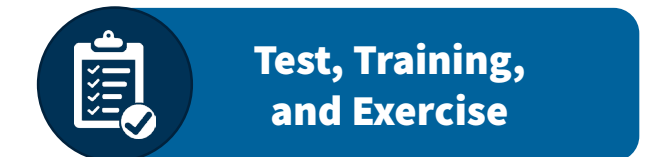
Following this cycle helps to ensure readiness and supports the performance of essential functions during times of crisis.



Continuity Program Elements

The following items are identified as key elements of a continuity program. Each organization may incorporate their own unique elements.

Click the buttons below to learn more about each element.



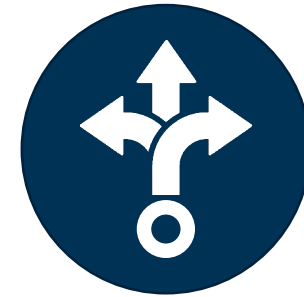
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Program Management, Plans, and Procedures

A comprehensive program helps prepare organizations and improves continuity plans.

An organization implements an effective continuity program through its related plans and procedures. An organization's continuity plans document the overarching strategy, policies, and procedures required to support its continuity program.

Continuity planning is an effort to document and ensure the capability to continue an organization's essential functions during a wide range of potential emergencies.



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Essential Functions II

Essential functions are a subset of organizational functions that are determined to be critical activities. These essential functions are then used to identify supporting tasks and resources that must be included in the organization's continuity planning process.



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Orders of Succession

Formal, sequential listings of positions (rather than specific names of individuals) identify who is authorized to assume a particular leadership or management role when the incumbent is unable to perform the functions and duties of his/her position.

The Orders of Succession for FDIC Executive and Senior Leadership are documented in the FDIC COOP Plan. FDIC Division/Office and Regional Office Orders of Succession can be found in their Continuity Implementation Plans.



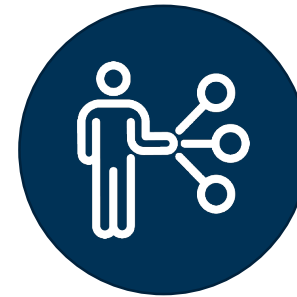
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Delegations of Authority

Delegations of authority ensure the orderly and predetermined transition of responsibilities within an organization and are related to, but distinct from, orders of succession.

A written delegation of authority provides the recipients with the legal authorization to act on behalf of the organization head or other officials for specified purposes and to carry out specific duties.



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Communications and Information Systems

The success of continuity programs is dependent on the availability of and access to communications systems with sufficient resiliency, redundancy, and accessibility available to perform essential functions and provide critical services during a disruption. During an emergency, the ability of a department or agency to execute its essential functions at its primary or alternate location depends on the availability of communications systems.

Communications and IT capabilities available during a continuity event mirror, to the extent possible and feasible, those used by the FDIC on a day-to-day basis. Communications and information systems requirements and capability efforts are led and maintained by the Division of Information Technology (DIT) with Continuity Planners providing coordination related to continuity planning efforts.

Further information and details regarding communications capabilities and IT capabilities can be found in the FDIC Disaster Recovery Plan (DRP) and Information System Contingency Plans (ISCPs) managed by DIT.



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Essential Records Management

Information and data are essential to the survival and continued function of the organization. Essential records are those records an organization needs to meet operational responsibilities under emergency conditions or to protect the legal and financial rights of the organization.

The FDIC COOP Program is primarily concerned with continuity-related essential records which include information, data, and authorities needed to execute/support the performance of FDIC's congressionally mandated Mission Essential Functions (MEFs) such as:

- Orders of succession
- Delegations of authority
- Continuity personnel information
- Reconstitution records needed to resume normal operations after an emergency



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Continuity Strategies

The FDIC's operating strategies during a continuity event focus on devolution and telework. Essential functions will be continued or resumed, and organizational command and control of essential functions will be directed via devolved operations or telework.

FDIC's continuity strategies, via devolution of operations and telework, allow for sufficient capacity and resources to support the continuation of FDIC's essential functions. Performance of essential functions will resume as soon as continuity personnel are able to begin telework or transfer operations to devolution locations.



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Human Resources

Identified personnel within an organization are needed to continue to perform essential functions during and after the continuity activation.

The FDIC has pre-designated three categories of continuity personnel to ensure the continuation of FDIC essential functions: Executive and Senior Leadership, Continuity Personnel, and Devolution Personnel.

FDIC Managers utilize Form 1600/21, Emergency Employee Designation and Acknowledgement, to designate continuity personnel as "mission essential."



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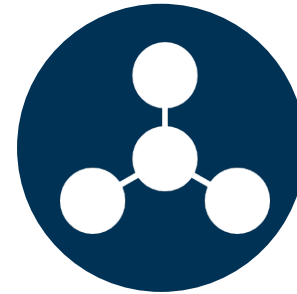
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Devolution

Devolution is the ability to transfer statutory authority and responsibility from an organization's primary operating staff and facilities to other designated staff and alternate locations to sustain essential functions.

The decision to devolve operations may be made when FDIC's primary operating facility or staff are not available, or when devolution presents a more operationally desirable option. FDIC may activate devolution plans as a continuity measure or as a temporary transfer of control.

Additionally, FDIC may choose to partially devolve, by transferring responsibilities for select Mission Essential Functions (MEFs) and essential business functions, or devolve to multiple devolution sites, by transferring responsibilities for different functions to various sites.



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Reconstitution

Planning for the recovery of the organization occurs during the readiness and preparedness phase, but the process of reconstitution will generally start when an incident occurs or soon after the incident concludes. During this phase, an organization focuses on returning to normal operations.



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Test, Training, and Exercise

TT&E activities are designed to familiarize, teach skills, and ensure viability of continuity plans. TT&E aids in verifying that an organization's continuity plan is capable of supporting the continued execution of the organization's essential functions throughout the duration of a continuity plan activation.

SEPS is responsible for coordinating all Corporation-wide continuity-related TT&E activities for the FDIC to include the annual Eagle Horizon exercise managed by FEMA.



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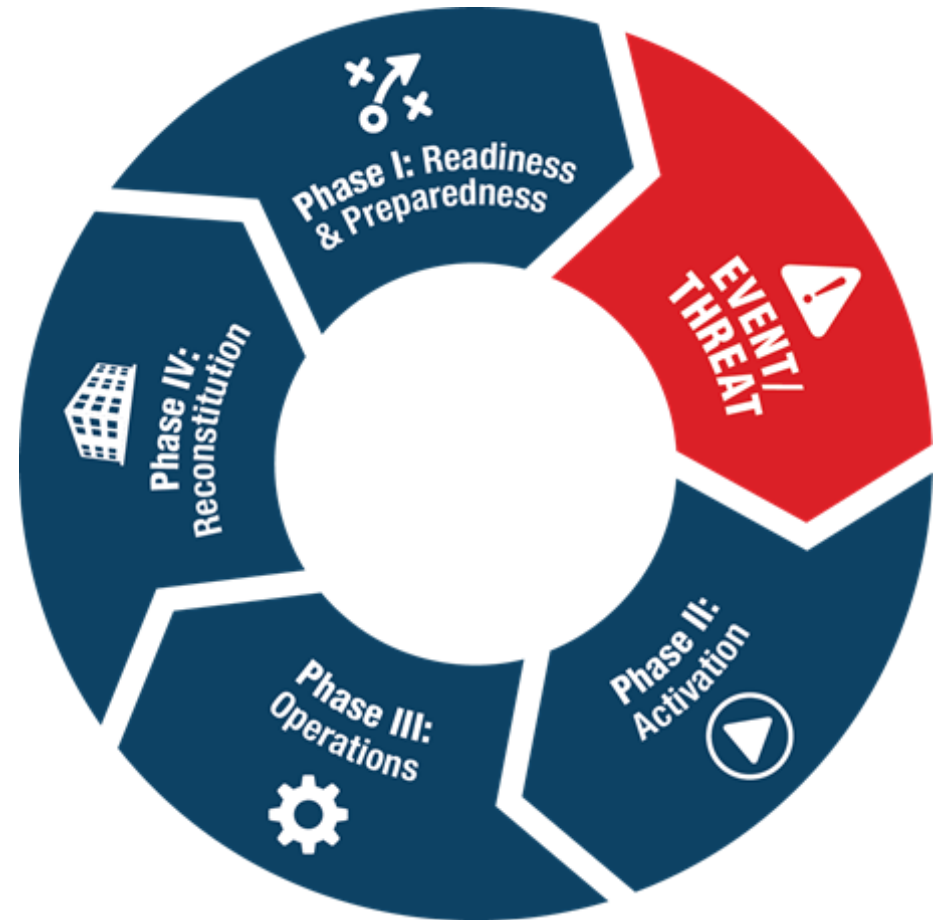
Continuity Phases

There are four phases of continuity:

- I. Readiness and Preparedness
- II. Activation
- III. Operations
- IV. Reconstitution

Phase one should be completed prior to any event or threat that would warrant the initiation of the remaining phases to ensure preparedness.

We'll take a closer look at each phase on the following screens.

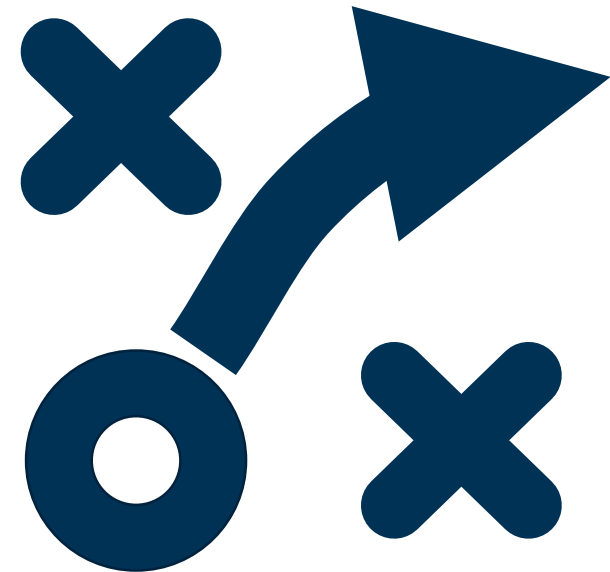


Phase 1: Readiness and Preparedness

Readiness is the ability of an organization to respond to a continuity activation.

This phase includes all organization continuity readiness and preparedness activities including:

- Plan development, review, and revision to include review and update of essential functions
- Risk identification and management activities
- Incorporating readiness and preparedness measures into daily activities
- Provision of guidance to all staff
- Test, training, and exercise activities



Phase II: Activation

This phase includes the activation of continuity plans and procedures to enable the continued performance of essential functions.

This phase encompasses transition to and operating via telework or the transfer of functions to devolution personnel with minimal disruption to operations.

Communication is important during this phase including:

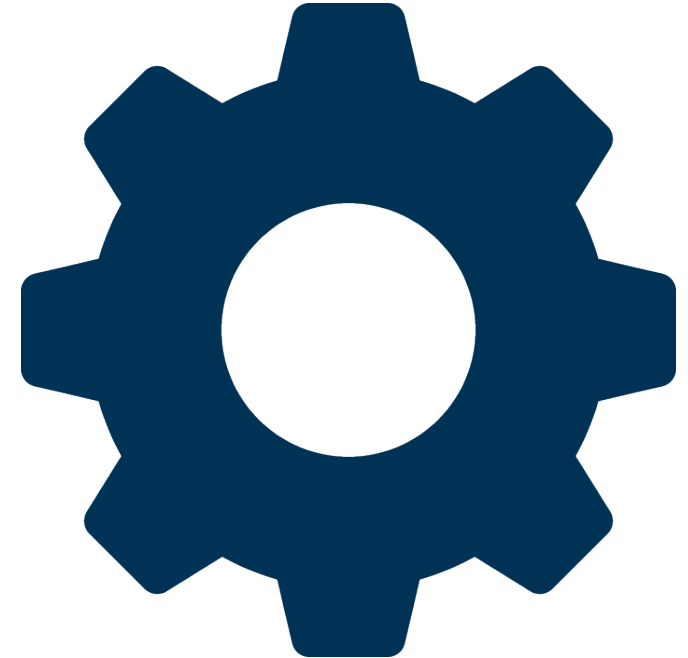
- Activation of continuity plan in response to an event
- Alert and notification
- Accountability of personnel



Phase III: Operations

During this phase, organizations implement and execute the strategies identified in the continuity plan to ensure essential functions are accomplished.

- This phase occurs once the organization is operational.
- Staff may operate from different locations via telework or essential functions may be devolved.
- Staff may have different assignments, shifts, rotations, or schedules.



Phase IV: Reconstitution

Reconstitution is returning to normal, sustainable operations once leadership determines normal operations can be initiated.

This may mean returning to the original facility, staffing and schedules, or a new facility.

It can also mean changing how functions are accomplished.

Planning for the recovery of the organization occurs during the readiness and preparedness phase, but the process of reconstitution will generally start when an incident occurs or soon after the incident concludes.

Organizations are responsible for:

- Providing an executable plan for returning to normal operations
- Coordinating and pre-planning options for reconstitution regardless of the level of disruption



Lesson 1 Summary

- Continuity is an effort to plan for ways to continue essential functions and provide essential services when normal operations are disrupted.
- Essential functions are those functions that are required for the organization to continue its mission.
- There are four phases of continuity: Readiness and Preparedness, Activation, Operations, and Reconstitution.
- A Continuity of Operations (COOP) Plan is one part of a continuity program.





Lesson 2: Continuity of Operations at the FDIC

Continuity at the FDIC

The FDIC participates, with other Federal Executive Branch Departments and Agencies, in COOP program management and planning efforts under the direction and supervision of the National Security Council and the Federal Emergency Management Agency (FEMA).

The FDIC follows Presidential Policy Directive-40 and all Federal Continuity Directives and mandates.

The FDIC is assessed annually by FEMA to ensure the appropriate state of readiness to accomplish FDIC's mission.

**U.S. Department of Homeland Security
Federal Emergency Management Agency
Federal Continuity Directive 1
Issue Date: January 17, 2017**



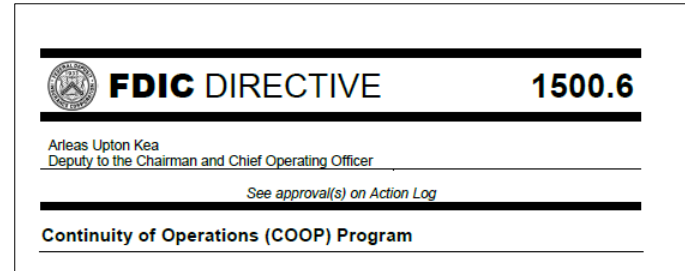
Federal Continuity Directive 1
*Federal Executive Branch National Continuity
Program and Requirements*

Continuity at the FDIC II

The FDIC COOP Program is managed by the Division of Administration (DOA) [Crisis Readiness and Response Section \(CRRS\)](#).

CRRS Continuity Planners are responsible for:

- Coordinating updates to the FDIC COOP Plan
- Conducting the annual Eagle Horizon exercise in coordination with FEMA
- Coordinating with divisions, headquarters offices, and regional offices for the development and update of Continuity Implementation Plans that support the FDIC COOP Plan



The FDIC's Four Mission Essential Functions

The core mission of FDIC has four major components. These four components of the mission statement, comprise the FDIC's four Mission Essential Functions (MEFs).

1. Insuring deposits;
2. Examining and supervising institutions for safety, soundness, and consumer protections;
3. Making large and complex financial institutions resolvable; and
4. Managing receiverships.

Essential Business Functions* are the specific division/office functions and processes that must be executed in order to support the performance of the MEFs.

These division/office functions and processes explain “how” the MEFs are performed.

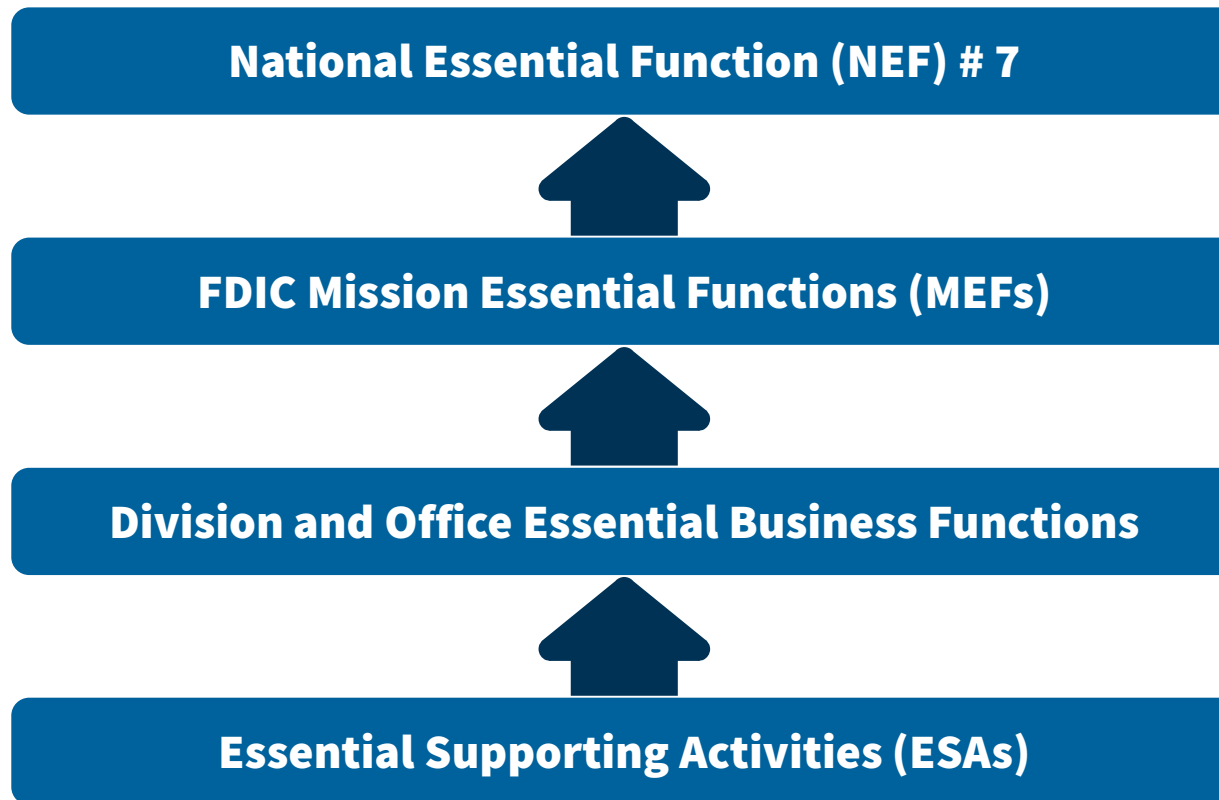
**The term Essential Business Function was developed by FDIC to clarify and appropriately document the business activities conducted by each Division/Office to accomplish the four FDIC MEFs.*



FDIC Essential Functions – Current Construct

It can be useful to think of the FDIC's essential functions in layers that support the National Essential Functions. Successful performance of functions at lower levels supports the effective functioning of activities at higher levels as shown below.

Click each level to see the functions included in that level.



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National Essential Function (NEF) # 7

All of the eight NEFs are shown below. The FDIC's mission is directly related to NEF #7.

1. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government
2. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people
3. Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests
4. Maintaining and fostering effective relationships with foreign nations
5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident
- 7. Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems**
8. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States

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FDIC Mission Essential Functions (MEFs)

- Insuring Deposits
- Examining and supervising institutions for safety and soundness and consumer protection
- Making large and complex financial institutions resolvable
- Managing receiverships

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Division and Office Essential Business Functions

(A full list of the Essential Business Functions can be found in the FDIC COOP Plan)

- Resolution Monitoring – **DRR**
- Insuring Deposits via Risk Related Premium System – **DIR**
- Orderly Liquidation – **CISR**
- Financial Institution Supervisory Examinations – **RMS**
- Advise Consumers and Small Businesses on Consumer Protection Rights – **DCP**
- Insuring Deposits / Premiums (Assessments) – **DOF**
- Legal Review (Mission Support) – **LEGAL**
- IT Operations (Mission Support) – **DIT**

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Essential Supporting Activities (ESAs)

- Acquisitions Management – **DOA**
- IT Support – **DIT**
- Facilities Operations – **DOA**
- Human Resources – **DOA**

Close

Continuity Exercises and Reviews

In addition to the development and maintenance of the **FDIC COOP Plan** and associated **Continuity Implementation Plans**, the COOP Program is also responsible for the following, Corporation-wide activities.

- **Eagle Horizon** – The Eagle Horizon exercise is a FEMA-managed, annual continuity exercise required for all Executive Branch Departments and Agencies.
- **Business Process Analysis (BPA) and Business Impact Analysis (BIA)** – The National Security Council requires Departments and Agencies to biennially conduct a BPA and BIA to revalidate the organization's essential functions. Participation from all FDIC Divisions and Offices is required to accomplish this task. The completed BPA/BIA is submitted to FEMA and the National Security Council for evaluation.



Business Process Analysis (BPA)

The BPA provides a method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, essential records, interdependencies, and facilities necessary for the execution of each business function.

Essential Functions Identification	Resource Identification	Interdependency Identification	Continuity Plan Enhancement	Division/Office Planning
Identifies Mission Essential Functions (MEFs) and Essential Business Functions of each Division and Office	Identifies and maps all needed resources to perform essential functions such as: <ul style="list-style-type: none"> • Timelines for essential function execution • Leadership and staff roles and responsibilities • Information Technology (IT) applications, and capabilities • Communications capabilities • Data • Budgets • Equipment 	Identifies interdependencies, dependencies, and interfaces	Enhances continuity planning and capabilities when the agency becomes overwhelmed during steady-state operations	Enriches the development of Continuity Implementation Plans for Division and Offices




Business Impact Analysis (BIA)

The BIA is a method of identifying the consequences of failing to perform a function or requirement. The BIA accomplishes the following:

1. **Assesses threats and impacts** to an organization's business operations using probability and likelihood
2. **Prioritizes vulnerabilities** and gaps by impact severity which will inform the BIA's programmatic risk profile
3. Shows relationship between threats and hazards and their **impacts on business operations**, which helps **inform leadership decision-making** processes, particularly for resource allocation

Threat/Hazard Identification	Threat/Hazard Impact Assessment	Threat/Hazard Likelihood
Identifies threats/hazards to Mission Essential Function (MEF) performance	Determines the impacts and consequences to MEF performance from identified threats/hazards	Weights and ranks the probability and likelihood of each threat/hazard



Additional Resources

Use these links to learn more about the Continuity of Operations Program and security at the FDIC.

- [FDIC 1500.06, Continuity of Operations \(COOP\) Program](#)
- [Crisis Readiness and Response Section \(CRRS\) Homepage](#)
- [SEPS Points of Contact](#)
- [Federal Continuity Directive 1, January 17, 2017](#)

If you have questions, please send them to **Continuity@fdic.gov**.



Lesson 2 Summary

- The FDIC follows Presidential Policy Directive-40 and all Federal Continuity Directives and mandates.
- The FDIC is assessed annually by FEMA to ensure the appropriate state of readiness to accomplish FDIC's mission.
- The FDIC COOP Program is managed by the Division of Administration (DOA) [Crisis Readiness and Response Section \(CRRS\)](#).
- The core mission of FDIC has four major components. These four components of the mission statement, comprise the FDIC's four Mission Essential Functions (MEFs).
- Divisions and offices also have Essential Business Functions that support the performance of MEFs.
- The FDIC participates in continuity exercises and reviews to ensure on-going continuity of operations.



Thank You!

Thank you for taking the time to complete this course.

Continuity of Operations is a critical part of every Federal agency's mission to ensure the continuation of their essential functions.

You may now close this course to receive credit for completion.

[Close Course](#)