

CONTINUITY POLICY AND PROGRAMS

I. Purpose

This Directive establishes the U.S. Department of Homeland Security (DHS) policy, responsibilities, and requirements regarding the Department's continuity programs.

II. Scope

This Directive applies throughout DHS.

III. Authorities and References

- A. Homeland Security Act, as amended
- B. National Security Act of 1947, as amended
- C. Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended
- D. Executive Order 12656, "Assignment of Emergency Preparedness Responsibilities," February 1988, as amended
- E. Executive Order 13526, "Classified National Security Information," December 2009
- F. Executive Order 13618, "Assignment of National Security and Emergency Preparedness Communications Functions," July 2012
- G. Executive Order 13636, "Improving Critical Infrastructure Cybersecurity," February 2013
- H. Presidential Policy Directive 8, "National Preparedness," April 2011
- I. Presidential Policy Directive 21, "Critical Infrastructure Security and Resilience," February 2013
- J. Presidential Policy Directive 40, "National Continuity Policy," July 2016

- K. Office of Science and Technology Policy/Office of Management and Budget Directive D-16-1, "Minimum Requirements for Federal Executive Branch Continuity Communications Capabilities," December 2016
- L. Federal Continuity Directive 1, "Federal Executive Branch National Continuity Program and Requirements," January 2017
- M. Federal Continuity Directive 2, "Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process," June 2017
- N. DHS Delegation 00106, "DHS Orders of Succession and Delegations of Authorities For Named Positions"
- O. DHS Delegation 09001.1, "Delegation to The Administrator of The Federal Emergency Management Agency"
- P. DHS Delegation 21000, "Delegation to the Director of the Office of Operations Coordination"
- Q. DHS Delegation 00002, "Delegation to the Under Secretary for Management"
- R. DHS Delegation 17001, "Delegation to the Under Secretary for National Protection and Programs"
- S. DHS Delegation 08503, "Delegation to the Under Secretary for Intelligence and Analysis/Chief Intelligence Officer"
- T. DHS Component Leadership Availability Memo, February 2017

IV. Responsibilities

- A. The **Administrator of the Federal Emergency Management Agency (FEMA)** performs those functions assigned by law, national continuity policy, and affiliated documents, or delegated by the Secretary of Homeland Security, to prepare and implement the plans and programs of the Federal Government regarding continuity of operations, continuity of government, and continuity of plans.
- B. The **Director of the Office of Operations Coordination (OPS)**:
 - 1. Serves as the DHS Continuity Coordinator and is the primary liaison for matters regarding the Department's internal continuity programs and functions;

2. Oversees the development, implementation, and maintenance of a comprehensive and coordinated DHS Continuity Program, to include continuity of operations, continuity of government, devolution, and reconstitution activities;
3. Appoints a DHS Continuity Manager to oversee and manage the day-to-day operations of the DHS Continuity Program;
4. Develops and leads the Office of the Secretary's continuity activities, including the DHS Successor Program, which includes the authority to coordinate, or during time-constrained circumstances or emergencies to direct the relocation of one or more of the Secretarial Successors to an alternate site when necessary or at such times when the successorship of the Secretary is at risk;
5. Ensures the consolidated and coordinated submission of DHS Continuity Program reporting and information to the National Continuity Coordinator, FEMA Administrator, and other entities as required or requested;
6. Establishes and manages continuity working group(s) to provide oversight and direction to the DHS Continuity Program;
7. Develops a Multi-Year Strategy and Program Management Plan (MYSPMP), which contains the five-year strategy and program management plan for the DHS Continuity Program;
8. Develops a Department-level test, training, and exercise (TT&E) program to support the DHS Continuity Program, which supports the National Exercise Program and is conducted in accordance with national continuity policy, federal continuity directives, and the Homeland Security Exercise and Evaluation Program (HSEEP);
9. Maintains and facilitates, in coordination with the Under Secretary for Management (USM) and the Under Secretary for Intelligence and Analysis (I&A), executive communication capabilities to support DHS Senior Leadership, and to ensure compliance, at a minimum, with national and Departmental continuity communications requirements;
10. Maintains the non-secure and secure contact information for all Component Heads, Deputies, other personnel listed in [DHS Delegation 00106](#), and other personnel as designated by the Secretary;

11. Ensures, in coordination with the Director of the Cybersecurity and Infrastructure Security Agency (CISA); the USM; and Component Heads, that plans and procedures are in place for identifying, prioritizing, assessing, protecting, and restoring the Department's internal critical infrastructure and mission essential assets;

12. Develops and promulgates, in coordination with the USM and Component Heads, prioritization requirements, processes, and guidance for the use of DHS assets, to include but not limited to personnel, facilities, information communications technology, essential records, and transportation assets, in support of continuity programs and activities; and

13. Acts as Original Classifying Authority for DHS Continuity Program information in accordance with governing Executive Order 13526 and DHS security classification guide policies and practices.

C. The **Under Secretary for Management**:

1. Ensures, in support of the DHS Continuity Coordinator, the development, implementation, and maintenance of Departmental policy and guidance addressing records management, human capital, information communications technology, budgeting, acquisitions, procurement, facilities, security, and logistics issues in support of the DHS Continuity Program; and

2. Appoints a DHS Reconstitution Manager responsible for developing and maintaining the Department's Reconstitution Plan and associated assets.

D. The **Director, Cybersecurity and Infrastructure Security Agency (CISA)**:

1. Conducts quarterly and annual assessments of continuity communications and information services capabilities for Category II, III, and IV executive branch departments and agencies in consultation with the Director, White House Military Office; and

2. Ensures, in coordination with Director, OPS and the USM, the incorporation of integrated risk management with regard to the identification, protection, and resilience of the Department's critical infrastructure and mission essential assets required for the performance of essential functions.

E. The **Under Secretary for Intelligence and Analysis (I&A)**:

1. Establishes, in coordination with the Administrator, FEMA; the Director, OPS; and, as appropriate, other Component Heads, continuity requirements and tasking for intelligence and counterintelligence collection and analysis programs to support DHS continuity programs; and
2. Serves as the Department's primary liaison to the Office of the Director for National Intelligence for matters regarding foreign and domestic threats to the Department's continuity programs and capabilities.

F. **Component Heads**:

1. Ensure either the Component Head or Deputy is available in the National Capital Region (NCR) at all times. If this cannot be achieved, waivers to this dual absence policy are considered on a case-by-case basis and are subject to approval by the DHS Chief of Staff¹. Waivers are requested for dual absence outside the NCR by providing justification to the DHS Chief of Staff five business days in advance of the absence date; the DHS Chief of Staff will determine and issue the approval. For emergencies or short/no-notice absences, alert the DHS Chief of Staff as soon as practicable.
2. Ensure Component-level delegations of authority and succession processes are regularly validated, to include internal procedures to conduct appropriate handoffs during times of unavailability. If a Component Head or Deputy dies, resigns, is unable to perform, is absent, or unable to act during a disaster or catastrophic emergency, such a condition shall be immediately reported to the National Operations Center. An official who was previously unavailable, who becomes available again, resumes their duties accordingly. Refer to the Component order of succession listed in [DHS Delegation 00106](#).
3. Ensure Component Head or designated Component official participates in the Secretary's policy-making, operational coordination, and decision-making processes in accordance with established crisis management procedures, to include DHS Senior Leadership Group Conferences, as described in [Attachment 1](#);

¹ This dual absence policy is applicable to the regular duty station locality of the FLETC Director and Deputy Director, not the NCR.

4. Appoint, in writing, a senior official as the Component Continuity Coordinator, who is responsible to the Component Head for management oversight of the Component continuity program, to include continuity of operations, devolution, and reconstitution activities, and serves as the senior point of contact for coordination within the Component to the Department for continuity matters;
5. May appoint an official, in writing, as the Component Continuity Manager, to oversee and manage the day-to-day operations of the Component continuity program;
6. May appoint an official, in writing, as the Component Devolution Manager, to be responsible for the successful performance of the Component's devolution option(s) for continuity operations;
7. Appoint, in writing, an official as the Component Reconstitution Manager, who is responsible to the Component Continuity Coordinator for management oversight of the Component reconstitution program, as a distinct element of the Component's overall continuity program, and serves as the senior point of contact for coordination within the Component to the Department for reconstitution matters;
8. Ensure development of an essential record plans packet(s) with the Component Continuity Manager and/or Coordinator working in conjunction with the appropriate DHS or Component Records Management Officials;
9. Ensure Component Continuity Coordinators identify, analyze, and prioritize the Component's Mission Essential Functions (MEFs) and Essential Supporting Activities (ESAs) in accordance with Departmental processes and relevant federal continuity directives, and develop and maintain a Component continuity program and plan(s) that provides for the continuation or rapid resumption of essential functions under all conditions and in support of the Department's Primary Mission Essential Functions (PMEFs), consistent with the policies, requirements, and processes of the Department's Continuity Program and Plan;
10. Ensure development of a Component MYPMP that provides for the development, maintenance, and annual review of continuity capabilities to support the Component's continuity program and the allocation of Component resources; and
11. Ensure implementation of a Component TT&E program to support the Component's continuity program. This TT&E program is conducted in accordance with federal continuity directives and the HSEEP, and is coordinated with overall DHS continuity TT&E efforts.

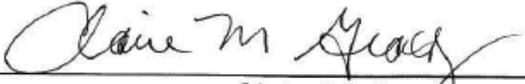
V. Policy

It is DHS policy that Department and Component continuity planning and programming:

- A. Encompass both with and without warning scenarios into planning assumptions, resourcing, doctrine, organization, and training;
- B. Incorporate continuity requirements into daily operations to include: identifying locations (i.e., Sensitive Compartmented Information Facilities/Operation Centers) from which Component Heads can send and receive urgent and classified information, continuous succession planning to inculcate a readiness/preparedness culture; and include other contingency planning requirements to ensure seamless continuation of essential functions.
- C. Communicate alerts and messages through Component operation centers and use multiple address lists (i.e., principals/deputies, etc.) to eliminate single point of communication failures;
- D. Ensure the capability to perform PMEFs without interruption for a minimum of 30 days or until normal operations resume, and for MEFs to be performed not later than 12 hours following the occurrence of an emergency or continuity activation, and sustained for a minimum of 30 days or until normal operations resume;
- E. Employ risk-management processes to ensure that readiness, mitigation, and operational decisions consider the likelihood of a hazard or threat, vulnerability to that hazard or threat, and the consequences or impact of failure, meet continuity requirements in the most cost-effective and efficient manner, and prevent misuse or the perception of misuse of government assets (i.e., staff, vehicles, and equipment);
- F. Emphasize the geographic distribution of leadership, staff, critical infrastructure, and mission execution to increase survivability and maintain capability to accomplish essential functions, particularly Component MEFs and Departmental PMEFs;
- G. Maximize the efficient use of information communications technology and critical infrastructure to promote continuity readiness and capabilities;
- H. Integrate critical infrastructure protection, information assurance, operations security, and crisis management requirements, as appropriate; and
- I. Does not provide an independent basis for Home-To-Work transportation.

VI. Questions

Address any questions or concerns regarding this Directive to the Office of Operations Coordination, Continuity Division.



Claire M. Grady
Senior Official Performing the Duties of the
Deputy Secretary

11 DEC 2018
Date

Attachment 1: DHS Senior Leadership Response Requirements

Table 1: DHS Senior Leadership Response Requirements
(All times are estimates and are provided for planning purposes only)

Response Time	*Secretary and *Deputy Secretary <i>Be Prepared To:</i>	*FEMA Administrator and †Deputy Administrator <i>Be Prepared To:</i>	DHS Component Heads and Deputies <i>Be Prepared To:</i>
N+0-15 Minutes	<p><i>Maintain ability to receive and respond to unclassified alert and notification messages.</i></p> <p><i>Participate in White House-level communications.</i></p> <p><i>Direct Secretary-level communications.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Maintain ability to receive and respond to unclassified alert and notification messages.</i></p> <p><i>Participate in White House-level communications.</i></p> <p><i>Participate in Secretary-level communications.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Maintain ability to receive and respond to unclassified alert and notification messages.</i></p> <p><i>Participate in non-secure Secretary-level communications.</i></p> <p><i>[Unclassified Communication]</i></p>
N+30 Minutes	<p><i>Participate in White House-level communications.</i></p> <p><i>Direct Secretary-level communications or conferences, such as the Senior Leadership Group Conference (SLG).</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Participate in White House-level communications.</i></p> <p><i>Participate in Secretary-level communications or conferences, such as the SLG.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Participate in Secretary-level communications or conferences, such as the SLG.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>
N+1 Hour	<p><i>Participate in a principal-level White House engagement.</i></p> <p><i>Direct Secretary-level conferences, such as the SLG or Counterterrorism Advisory Board (CTAB), respectively.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Participate in White House-level communications.</i></p> <p><i>Participate in Secretary-level conferences, such as the SLG and CTAB.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Participate in Secretary-level conferences, such as the SLG and CTAB.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>
N+2.5 Hours	<p><i>Lead a DHS SLG as a result of the principal-level meeting.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Participate in Secretary-level conferences.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>	<p><i>Participate in Secretary-level conferences.</i></p> <p><i>[Unclassified & Classified Communication]</i></p>

* The Secretary, Deputy Secretary, and FEMA Administrator have minimum requirements to meet in accordance with national level policy. This table does not supersede existing responsibilities and requirements.

† The FEMA Deputy Administrator carries a secure-capable cellular phone when on personal travel or after working hours; during periods of FEMA Administrator unavailability, or when designated by the Administrator, remains in the NCR and serves as the in-area senior official, except in extraordinary circumstances preapproved by a dual absence waiver.