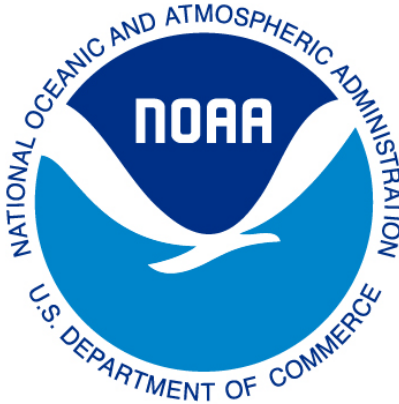


# NOAA/NESDIS



## NESDIS-PD-1070.1

# NESDIS CONTINUITY OF OPERATIONS (COOP) POLICY DIRECTIVE

**March 2022**

**COMPLIANCE IS MANDATORY**



Prepared by:  
U.S. Department of Commerce  
National Oceanic and Atmospheric Administration (NOAA)  
National Environmental Satellite, Data, and Information Service (NESDIS)



NESDIS Continuity of  
Operations (COOP)  
Policy Directive

NESDIS-PD-1070.1  
Effective Date: March 3, 2022  
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## Approval Page

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## 1. Purpose

This directive establishes policies and procedures for developing and implementing Continuity of Operations (COOP) Plans for the National Environmental Satellite, Data, and Information Service (NESDIS). It describes the roles and responsibilities of key personnel when dealing with incidents or catastrophic emergencies to protect life, preserve equipment, facilities and assets, and restore normal operations.

## 2. Objectives

Continuity of operations planning is a coordinated effort to ensure a high level of readiness and a capability to implement a plan, with or without warning, to sustain an organization's Mission Essential Functions (MEFs), Primary Mission Essential Functions (PMEFs), and Essential Supporting Activities (ESAs) while protecting the lives of personnel, preserving equipment, and facilities and assets.

NESDIS Continuity of Operations (COOP) planning will ensure:

- Safe and effective protection of all personnel either through evacuation or Shelter-in-Place (SIP)
- Protect and preserve equipment, facilities, and other assets needed to continue MEFs, PMEFs, and ESAs
- Safe and effective staff, resource, and functional relocation to alternate facilities/teleworking when necessary

## 3. Applicability

This directive applies to all NESDIS functions, personnel, and designated contractors supporting NESDIS offices and data centers.

## 4. Assumptions

The NESDIS COOP Plan is based on the following assumptions:

1. Incidents and catastrophic emergencies can and will occur at any time and at any NESDIS site with or without any warning
2. Implementation of this directive enhances NESDIS' capabilities to effectively and efficiently prepare for, respond to, recover from, and mitigate against all potential hazards, regardless of cause, size, location, or complexity



## **5. Personnel Responsibilities**

### **5.1. NOAA Assistant Administrator for Satellite and Information Services**

The NOAA Assistant Administrator for Satellite and Information Services will:

1. Direct development, maintenance, and implementation of COOP Plans, including a Business Impact Analysis (BIA) for NESDIS HQ, offices and data centers
2. Direct development, documentation, and implementation of delegations of authority and orders of succession; if feasible, at least one person in the orders of succession will be located outside of the local geographical area of the facility
3. Direct development, implementation, and maintenance of a NESDIS COOP Essential Records Program for NESDIS offices and data centers
4. Direct development and maintenance of interagency agreements necessary to sustain critical infrastructure or an essential function
5. Ensure adequate equipment, procedures, COOP plans, and other essential records as necessary to sustain essential functions are available at alternate locations and devolution facilities
6. Function as the NESDIS Incident Commander (IC) of the NESDIS Crisis Management Team, unless directed to deploy to NOAA's alternate site

### **5.2. Deputy Assistant Administrator/Satellite and Information Services**

The Deputy Assistant Administrator for Satellite and Information Services will:

1. Assist the Assistant Administrator in the execution of all duties related to COOP
2. Assume all COOP duties of the Assistant Administrator in the absence of the Assistant Administrator

### **5.3. Deputy Assistant Administrator for Systems**

The Deputy Assistant Administrator for Systems will:

1. Assist the Assistant Administrator in the execution of all duties related to COOP
2. Assume all COOP duties of the Assistant Administrator in the absence of the Assistant Administrator and the Deputy Assistant Administrator for Satellite and Information Services

### **5.4. NESDIS Office and Data Center Directors**

Office and Data Center Directors will:

1. Develop and maintain COOP Plans, including a BIA, for their offices and data centers
2. Ensure the COOP plan for that office or data center are consistent with the NESDIS COOP Plan
3. Develop, maintain, and exercise emergency contact lists for their offices and data centers





4. Develop and conduct COOP & IT System Contingency Plan (ISCP) exercises/testing and personnel training/cross-training for all PMEFs and MEFs to ensure COOP readiness and to meet COOP requirements
5. Develop and implement delegations of authority and orders of succession. When possible, at least one person in the orders of succession will be located outside of the local geographical area of the office or data center
6. Develop and maintain interagency agreements necessary to sustain critical infrastructure or an essential function
7. Develop, implement, and maintain a process to identify essential records and participate in the NESDIS COOP Essential Records Program

### **5.5. Senior NESDIS Site Personnel**

The Senior NESDIS person at each NESDIS site will:

1. Ensure each office or data center at that site has an approved COOP plan, and all systems for that site have an ISCP
2. Act as the NESDIS Site Coordinator for their site during all COOP activations; coordinate all COOP activities with other NOAA and/or NESDIS offices/data center collocated at the same site
3. Ensure implementation of safety procedures, such as evacuation and shelter-in-place, as outlined in the Occupant Emergency Plan (OEP)

### **5.6. NESDIS COOP Coordinator**

The NESDIS COOP Coordinator and staff will:

1. Support NESDIS leadership in COOP program implementation and during COOP activations
2. Maintain the NESDIS COOP Plan, including BIA for NESDIS HQ
3. Provide COOP technical guidance to all NESDIS offices and data centers including assistance in conducting a BIA and other assessments as necessary
4. Recommend and review COOP planning and recovery strategies for NESDIS offices and data centers to ensure optimum use of resources, based on actual incidents, exercises, and lessons learned
5. Develop and conduct exercises and training to support COOP Plan implementation
6. Coordinate with the NOAA Homeland Security Program Office (HSPO) for government-wide, DOC, and NOAA initiated COOP activities
7. Maintain records of COOP activities at both NESDIS and office/data center levels for compliance

### **5.7. Personnel with COOP Designation**

All personnel assigned to any COOP organization, group, or team will receive a notification of their designation confirming their COOP duties.



All personnel so designated will:

1. Understand their assignment and associated roles and responsibilities
2. Attend scheduled COOP training
3. Participate in all COOP exercises when directed
4. Ensure their supervisor, or team leader have their most current contact information
5. Assume their COOP role during COOP activation
6. Notify team leaders or other authorities of unsafe situations or other conditions that warrant changes to the COOP Plan
7. Maintain a “drive-away kit,” if applicable

### **5.7.1 Drive-away Kit**

At a minimum, each drive-away kit will contain those items a member considers essential to support operations at an alternate site for at least 30 days or until normal operations are resumed. See Appendix E for detailed suggestions for drive-away kit contents.

## **6. Plan Format, Maintenance, and Distribution**

COOP Plans will address mission essential functions, primary mission essential functions, and essential supporting activities of the office or data center. Appendix D provides a list of recommended sections and appendices; not all sections and appendices are applicable to all offices and data centers.

### **6.1. Plan Maintenance**

COOP Plans will be reviewed and updated at least annually. All Plans will be signed by the Plan Owner. An updated COOP Plan will be provided to the NESDIS COOP Program staff no later than 30 days following the annual review.

### **6.2. Plan Distribution**

The NESDIS Office and Data Center COOP Plans will be distributed to all personnel with COOP responsibilities. The NESDIS and O/DC COOP Plans contain information that may be exempt from mandatory release to the public under the Freedom of Information Act (5 U.S.C. § 552); therefore, it will be handled and safeguarded to prevent unauthorized disclosure. The document will not be released without the prior authorization of the NESDIS or O/DC COOP Coordinator to anyone who does not have a valid "need-to-know" based upon their responsibilities. When unattended, the document will be protected against theft, compromise, inadvertent access, and unauthorized disclosure.

## **7. Tests, Training, and Exercises (TT&E)**

A Test, Training, and Exercise program prepares, validates, and familiarizes personnel with an organization’s COOP Plan. The NESDIS TT&E Program will comply with the DHS Homeland Security Exercise Evaluation Program (HSEEP). All offices and data centers will



plan, conduct, and document periodic training, testing, and exercises. Additionally, all offices and data centers will participate in an annual NESDIS-wide exercise.

Tests, Training, and Exercises for all NESDIS offices and data centers will include, but are not limited to:

- Awareness and role-based training
- Annual exercise of the offices/data centers COOP Plans
- Annual test of office/data center call-down/notification tree
- Quarterly communications tests between:
  - Primary and alternate sites
  - Alternate sites and key partners (as defined by the offices/data centers COOP plans)

Training records and tests/exercise results, together with any supporting documentation, will be forwarded to the NESDIS COOP Coordinator within 30 days of the completion of the tests, training, or exercises. These records will help satisfy both the NESDIS and the NOAA/Homeland Security Program Office's TT&E requirement.

## **8. Directive Effective Date**

This directive is effective as of and upon signature of the Deputy Assistant Administrator for Satellite and Information Services. Further questions about the intent and content should be directed to the NESDIS COOP staff.



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## Appendix A: Authorities

The Assistant Administrator for Satellite and Information Services directs the implementation of the procedures contained in this plan under the authority granted by 15 USC, and the following orders and directives:

- 5 U.S.C. Part III, § 6501, Telework Enhancement Act of 2010
- 6 U.S.C § 101 et seq., § 314(a) (15), Homeland Security Act of 2002
- 44 USC § 3101, Records Management by Federal Agencies, January 5, 2009
- 44 USC § 3544(b) (8) Federal Information Security Management Act (FISMA), January 2002
- 51 U.S.C. § 60101, et seq., National and Commercial Space Program Act, December 18, 2010
- 36 CFR § 1236, Electronic Records Management, revised as of July 1, 2000
- 41 CFR § 101.20.103-4, Occupant Emergency Program, revised as of January 1, 2011
- Executive Order (EO) 12472, Assignment of National Security and Emergency Preparedness Communications Functions, July 6, 2012
- EO 12656, Assignment of Emergency Preparedness Responsibilities, November 18, 1988, as amended
- EO 13231, Critical Infrastructure Protection in the Information Age, October 16, 2001
- EO 13618, Assignment of National Security and Emergency Preparedness Communications Functions, July 6, 2012
- Federal Continuity Directive 1 (FCD 1), Federal Executive Branch National Continuity Program and Requirements, January 17, 2017
- FCD 2, Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions Identification and Submission Process, June 13, 2017
- Presidential Policy Directive (PPD) – 8, National Preparedness, March 30, 2011 (formerly HSPD-8)
- PPD – 40, National Continuity Policy, July 15, 2016
- Presidential Decision Directive (PDD) 39, U.S. Policy on Counter-Terrorism, June 21, 1995
- PDD - 63, Critical Infrastructure Protection (CIP), May 22, 1998
- Homeland Security Presidential Directive (HSPD) – 3, Homeland Security Advisory System, March 11, 2002
- HSPD – 5, Management of Domestic Incident, February 28, 2003
- HSPD – 7, Critical Infrastructure Identification, Prioritization, and Protection, December 17, 2003
- National Communications System Directive (NCSD) 3-10, Minimum Requirements for Continuity Communications Capabilities, July 25, 2007



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- National Communications System Manual (NCSM) 3-10-1, Guidance for Implementing NCSD 3-10 (FOUO), February 26, 2008
  - National Infrastructure Protection Plan, 2013
  - Office of Personnel Management (OPM) Washington, DC Area Dismissal and Closure Procedures, November 2018
  - Office of Management and Budget Circular, A-130 Revised, Appendix III, Security of Federal Automated Information Resources, November 28, 2000
  - Department of Commerce, Administrative Order (DAO) 210-1, Emergency Readiness for Departmental Continuity, November 4, 2009
  - DOC DAO 210-7, Commerce Responsibilities in Disasters and Emergencies, May 9, 2019
  - DOC Telework Plan, May 10 2018
  - Vital Records and Records Disaster Mitigation and Recovery, National Archives and Records Administration Instructional Guide Series, College Park, MD (1996)
  - National Institute of Technology (NIST), Special Publication 800-34 (revision 1), Contingency Planning for Information Technology Systems, May 2010
  - NAO 210-5, Order of Succession to Key NOAA Positions, May 14, 2012
  - NAO 210-100, All Hazards Incident Management, January 22, 2014



## Appendix B: Definitions

**Business Impact Analysis (BIA):** A method of identifying the consequences of failing to perform a function or requirement.

**Catastrophic Emergency:** Any event, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the US population, infrastructure, environmental, economy, or government functions.

**Continuity of Government (COG):** A coordinated effort within the executive, legislative, or judicial branches of the Federal Government to ensure that NEFs continue to be performed during a catastrophic emergency.

**Continuity of Operations (COOP):** An effort within the Executive Office of the President and individual Departments and Agencies (D/As) to ensure essential functions continue to be performed during disruption of normal operations.

**Continuity of Operations (COOP) Plan:** A documented plan that details how an individual organization will endure it can continue to perform its essential functions during a wide range of events that impact normal operations.

**Continuity of Government Readiness Conditions (COGCON):** The COGCON system establishes executive continuity program readiness levels, focusing on emergencies in or credible threats to the National Capital Region, or affecting the performance of National Essential Functions (NEFs).

**Devolution:** The transfer of statutory authority and responsibility from an organization's primary operating staff and facilities to other staff and alternate locations to sustain essential functions when necessary.

**Emergency Relocation Group (ERG):** Staff assigned to continue performance of essential functions at an alternate location in the event that their primary operating facility or facilities are impacted or incapacitated by an incident.

**Enduring Constitutional Government (ECG):** A cooperative effort among the executive, legislative, and judicial branches of the Federal Government, coordinated by the President, as a matter of comity to the legislative and judicial branches and the constitutional separation of powers among the branches, to preserve the constitutional framework under which the Nation is governed. ECG ensures the capability of all three branches of government to execute constitutional responsibilities and provide for orderly succession, appropriate transition of leadership, and interoperability and support of the NEFs during a catastrophic emergency.

**Essential Function:** A subset of government 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. In FCD-1, the term



“essential functions” refers to those functions an organization must continue in a continuity situation, whether the functions are Mission Essential Functions (MEFs), Primary Mission Essential Functions (PMEFs) or Essential Supporting Activities (ESAs).

- **Mission Essential Function (MEF):** The essential functions directly related to accomplishing an organization’s mission as set forth in statutory or executive charter. Generally, MEFs are unique to each organization.
- **Primary Mission Essential Function (PMEF):** Those MEFs that must be continuously performed to support or implement the uninterrupted performance of National Essential Functions (NEFs).
- **Essential Supporting Activities (ESAs):** Critical functions that an organization must continue during a continuity activation, but that do not meet the threshold for MEFs or PMEFS.

**Essential Records:** Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity event. The two basic categories of essential records are emergency operating records and rights and interest records.

- Emergency operating records include emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after the emergency.
- Legal and financial rights records are essential to protect the legal and financial rights of the government and the individuals directly affected by its activities. Examples include account receivable records, social security records, payroll records, retirement records, and insurance records.

**Information System Contingency Plans (ISCP):** Management policy and procedures designed to maintain or restore business operations, including computer operations, possibly at an alternate location, in the event of emergencies, system failures, or disasters.<sup>1</sup>

**National Essential Function (NEF):** Selected functions necessary to lead and sustain the nation during a catastrophic emergency and that, therefore, must be supported through COOP, COG and ECG capabilities.

**Occupant Emergency Plan (OEP):** A short-term emergency response plan which establishes procedures for evacuating buildings or sheltering-in-place to safeguard lives and property. Common scenarios that would lead to the activation of these plans include inclement weather, fire, localized power outages, and localized communications outages. These types of events are generally short-term in nature.

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<sup>1</sup> NIST SP 800-34 Rev.1, Contingency Planning Guide for Federal Information Systems, May 2010.





## Appendix C: Establishing Primary Mission Essential Functions

Among the four Department of Commerce PMEFs, two are designated for NOAA:

- DOC PMEF #2 - "Collect and provide the Nation with critical intelligence data, imagery, and other essential information for predictive environmental and atmospheric modeling systems and space-based distress alert systems by operating NOAA-controlled satellites, communications equipment, and associated systems."
- DOC PMEF #3 - "Provide the Nation with forecasts, warnings, environmental data, and expertise critical to public safety, disaster preparedness, all-hazards response and recovery, the national transportation system, safe navigation, and the protection of the Nation's critical infrastructure and natural resources."

The following NESDIS PMEFs support the NOAA PMEFs:

1. Command and control of NOAA-owned environmental satellite for public safety and national security.
2. Ingest, process, and distribute global environmental data and information services from satellites and other sources to promote, protect, and enhance the Nation's economy, security, and the environment.
3. Recover distress signals from NOAA and non-NOAA satellites in low-earth and geostationary orbits as well as GPS satellites in medium-earth orbit, and distribute them to search and rescue authorities.
4. Implement, as necessary, control over NOAA-licensed private remote sensing space systems' distribution of data for national security reasons (aka implementation of modified operations).



## Appendix D: Developing COOP Plans

NESDIS HQ and all offices and data centers will use the following procedures to develop, implement, and maintain COOP Plans. NESDIS offices and data centers may modify these instructions as necessary to fit mission and size.

### D.1 Business Impact Analysis

The initial step in developing a COOP Plan is accomplishing a Business Impact Analysis. A BIA is a systematic process to identify all business functions, resources to perform those functions, and characterize consequences of their loss.

The BIA identifies –

- All functions and services performed
- The recovery time objective (RTO) of each function
- Associated recovery requirements

The BIA establishes continuity requirements and prioritizes functional recovery based on the RTO. RTOs consider the point at which the loss of a function becomes unacceptable to the organization and are used to help determine the need for COOP activation.<sup>2</sup>

It is recommended that a BIA is conducted every two years and reviewed by the senior leadership at each office/data center.

### D.2 COOP Plan Development

Upon approval of the BIA by the office/data centers director, the office/data center COOP staff, with the assistance of the NESDIS COOP staff, will:

- Identify internal and external threats as part of the Risk Analysis
- Determine recovery strategies meeting the approved requirements and mitigating risks (as identified above)
- Assess advantages and disadvantages of each recovery strategy
- Implement recommendations based on cost-effectiveness and the ability to satisfy requirements

A COOP Plan will provide the procedures and support policies necessary to implement the approved strategies. The required elements of the COOP plan will be covered in the following sections.

### D.3 Planning Assumptions

All NESDIS facilities are potentially vulnerable to a broad range of accidents, natural disasters, technology or environmental failures, or deliberate acts including war or terrorism.

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<sup>2</sup> See FCD 2 and NIST SP 800-34, Rev. 1 for guidance in conducting a Business Impact Analysis.



In order to establish baseline planning factors, assumptions will provide initial planning standards. Additional planning assumptions may be necessary for specific facilities and/or locations beyond those listed here.

COOP plans should address, at least, the following:

- All-hazards planning can be addressed if strategies for the following four impacts are adequately developed and implemented:
  1. Loss of computing infrastructure (e.g. hardware/software failure, virus, etc.)
  2. Loss of telecommunications (voice and/or data)
  3. Loss of Personnel
  4. Denial of facility access
- Activation of the COOP plan may result from localized conditions that have little broader impact, a regional situation, or a catastrophic event that severely taxes the ability of the Federal Government to maintain operations.
- NESDIS personnel will be prepared to support emergency response, and recovery of MEFs and PMEFS.
- Assume activation without warning
  1. National guidance requires all executive departments and agencies to base continuity planning on the assumption that advance warning will not be received to implement COOP and shift operations to the alternate site.
  2. COOP procedures may be activated during normal hours as well as non-duty hours.
- Assume constrained resources
  1. COOP operations will be conducted with limited staff and technological resources and reduced logistic support aimed at supporting only the most critical NESDIS functions.

## D.4 Plan Elements

COOP Plans, at a minimum, will contain the following elements<sup>3</sup>:

1. Program Management, Plans, and Procedures
  - Establishment of standardized planning and procedural objectives and requirements, and risk principles for continuity management
2. Essential Functions
  - Define MEFs, PMEFS, and ESAs to be performed or supported
3. Orders of Succession and Delegations of Authority
  - Pre-designated key personnel to assume leadership positions in the event that regularly appointed leadership is unavailable

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<sup>3</sup> As outlined in FCD-1



- Established delegations of authority will ensure the orderly transition of leadership responsibilities during a continuity activation
4. COOP Plan activation criteria & procedures
    - Procedures for employee advisories, alerts, formation of the COOP Recovery Organization, and implementation of COOP procedures with instructions for relocation to the appropriate alternate site (including telework) when necessary
    - Procedures will support activation, with and without warning, during duty and non-duty hours
    - Maintain up-to-date telephone trees and other means of communications.
  5. Alternate facilities
    - A list of alternate locations that are prepared to accommodate migrating functions, services, and staff, including directions, points of contact, and telephone numbers
    - Procedures for recovering PMEFs within appropriate RTOs
    - Processes and procedures to acquire resources necessary to sustain operations for at least 30 days or until normal operations are resumed
  6. Communications and Information Systems
    - Availability, diversity, and redundancy of critical communications and information systems
    - Use of portable telecommunications technology (e.g. laptop computers, mobile telephone, and satellite telephones)
    - Enroll in the Government Emergency Telecommunications Service (GETS) and Wireless Priority Service (WPS) for essential personnel
    - Maintain communications among all NESDIS alternate sites and the alternate sites of all higher authorities
  7. Essential records Management
    - Comprehensive process for identification, protection and accessibility of COOP essential records at primary, alternate and devolution locations
  8. Human resources
    - A roster of fully-trained personnel with the authority and skills to perform essential functions and activities
    - Procedure for personnel accountability throughout the duration of the COOP event
    - Designation of personnel to the recovery organization structure
  9. Devolution (NESDIS HQ only)
    - Office/data center directors (or designees) work with the Devolution site personnel to identify critical functions to be conducted



- When activated, the Devolution Director leads the team of staff to support those HQ functions pre-identified until the designated responsibilities are reconstituted

#### 10. Reconstitution

- For large-scale reconstitution efforts, a reconstitution plan is required to detail the restoration recommendations, projected costs, and timeline. The reconstitution plan will be approved by NESDIS leadership
- Procedures for validation testing
- Migration plan (in phases) for returning operations

#### 11. Tests, Training & Exercises

- Regularly scheduled COOP testing, training, and exercising to assess and validate continuity plans, policies, procedures, systems and alternate locations
- Completion of corrective actions to improve COOP preparedness

### **D.5 Notice of Confidentiality**

All COOP Plans containing Personally Identifiable Information (PII) will be stored and communicated using accepted PII controls as directed by Department of Commerce, NOAA, and NESDIS policies, directives, and, orders.

All COOP Plans will include the following Notice of Confidentiality, and afforded protections commensurate with “Controlled Unclassified Information” (CUI):

“Information contained in this Continuity of Operations Plan (COOP) is CONTROLLED UNCLASSIFIED INFORMATION (CUI). Portions of this plan may contain information raising privacy or other considerations, which may be exempt from mandatory disclosure under the Freedom of Information Act. The information contained herein is to be used by personnel with an official “Need to Know” based on their responsibilities relative to this COOP activities. Some of the information in this plan, if made public, could endanger the lives and privacy of associates. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of the National Environmental Satellite, Data, and Information Service, or otherwise, impact NESDIS’ ability to perform its critical functions, as well as disclose protected Personally Identifiable Information (PII). Unauthorized use of this information may constitute an invasion of privacy and a violation of law. When unattended, the document must be stored in a locked container or area offering sufficient protection against theft, compromise, inadvertent access, and unauthorized disclosure.”



## Appendix E: Drive-away Kit Checklists

A drive-away kit is a package containing personal and professional items and equipment related to an emergency operation that all Leadership Response Group (LRG) and Emergency Relocation Group (ERG) members should be able to retrieve quickly at all times in case of COOP activation.

### E.1 Business Drive-away Kit Checklist

- CAC card/NOAA ID card
- Directions to alternate facility(ies)
- COOP Plans (e.g. NOAA and NESDIS/individual checklists)
- NOAA and/or NESDIS COOP Quick Reference Document (QRD)
- Government-issued communication equipment
  - Cell phone
  - Chargers/batteries for portable communication equipment
  - GETS / WPS card, if issued
  - Satellite phone, if issued
- Laptop/iPad (with accessories and chargers, etc.)
- Government credit cards
- Contact information for key personnel and organizations
- Hard copies and/or electronic versions of essential records
- Flashlight w/extra batteries

### E.2 Personal Drive-away Kit Checklist

- Personal cell phone including chargers
- Identification, such as driver's license, and credit and debit cards
- Health insurance card
- Vaccine card/record
- Insurance information
- Medical Needs
  - List of allergies/blood type and/or other medical conditions
  - Hearing aids and extra batteries
  - Glasses and/or contact lenses
  - Prescription drugs (consider 30-day supply)
  - Hard copy of prescriptions
  - Over-the-counter medications, dietary supplements, etc. (minimum 30-day supply)
  - Medical devices
- Emergency Phone Numbers and Addresses (Relatives, Doctors, Pharmacist)
- Postage stamps and personal stationery
- Family Emergency Plan ([www.Ready.gov](http://www.Ready.gov))
- Cash for miscellaneous expenses



- Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)
- Recreation/entertainment (reading materials, playing cards, puzzles, games)
- Sewing Kit
- Flashlight and batteries
- Trash bags
- Laundry bag
- Personal pictures
- Spiritual materials
- Lighter/matches
- Toiletries
  - Toothbrush, toothpaste, dental floss
  - Bath soap
  - Shampoo
  - Hair brush and comb
  - Hair dryer, curling iron
  - Electric razor or razor and shaving cream
  - Nail clippers and file
  - Deodorant or antiperspirant
  - Personal hygiene products
- Clothing
  - Business casual work attire (4-5 days' worth)
  - Leisure clothes (workout clothing, etc.)
  - Undergarment and socks, sleepwear, robe, slippers
  - Light- and medium-weight sweater or jacket
  - Outerwear for the season
  - Comfortable shoes
- Small portable battery-operated radio/CD player/alarm clock

Personnel should add or deduct from this list according to their special needs and operating environment. The drive-away kit should be updated on a regular basis. Any kit containing sensitive and classified documents must be handled and protected in accordance with guidance issued by the DOC Office of Security and requisite federal security guidelines.



## Appendix F: Essential Records

### F.1 Objective

A robust COOP Essential Records Program will provide NESDIS with the records needed to conduct its mission essential and primary mission essential functions under other than normal operating conditions for a minimum of 30-days; and, to resume normal business following an unplanned interruption of operations.

A document's designation as a permanent record has no bearing on its designation as an essential record.

### F.2 Scope

The National Archives and Records Administration (NARA) defines two essential records categories: 1) Emergency Operating Records – records an organization needs to continue functioning or to reconstitute after an emergency; 2) Legal and Financial Rights Records – records needed to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. For NESDIS COOP purposes, the focus is on emergency operating records.

### F.3 Responsibilities

1. The NOAA Assistant Administrator for Satellite and Information Services will:
  - Direct development, implementation, and maintenance of a COOP Essential Records Program for NESDIS offices and data centers.
2. Office and Data Center Directors will, with the advice and assistance of the NESDIS COOP staff:
  - Support the implementation of the NESDIS COOP Essential Records Program.
  - Ensure the essential records necessary to sustain mission essential and primary mission essential functions are uploaded in the COOP Essential Records repository site.
  - Establish a process and assign personnel to ensure the records in the repository are up-to-date.
3. COOP Essential Records Point of Contact will:
  - Implement the process of identifying and maintaining COOP essential records in the NESDIS repository.
  - Prepare an inventory of the essential records necessary for the office or data center and provide a copy to the NESDIS COOP Coordinator.
4. The NESDIS COOP Coordinator and staff will:
  - Provide advice and directions as required to maintain a NESDIS COOP Essential Records Program.





- Maintain access requirements and inventories of resources necessary to access the essential records (hardware, software, Internet access, etc.) at alternate and devolution sites.
- Coordinate with the NOAA Homeland Security Program Office (HSPO) for government-wide, DOC, and NOAA essential records activities.

#### **F.4 Essential Records Maintenance**

COOP essential records in the NESDIS repository should be reviewed annually, including updating contents, removing obsolete files and adding new files.

#### **F.5 Sample Emergency Operating Records**

- Emergency plans and directive(s), or other authorizing issuances, including information needed to operate the alternate operations center and its equipment, and records recovery plans and procedures
- Orders of succession
- Delegations of authority
- COOP/Emergency staffing assignments, including lists of personnel, along with their addresses and telephone numbers (and comparable data for alternates), assigned to the alternate operations center or other emergency duties or authorized access to damaged facilities to assess the extent of damage
- Alternate operations location access credentials and classified or restricted access container documentation (as required)
- List of credit card holders and limits
- Building plans and building systems operations manuals for all agency facilities
- Equipment inventories for agency facilities
- Essential records inventories
- System documentation for any electronic information systems designated as emergency operating records.



NESDIS Continuity of  
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