



Continuity Program Manager

Student Manual

IS 548 Flexible Delivery Classroom

June 2009



FEMA

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Unit 1: Introductions and Course Overview

Objectives

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

1. Define Continuity of Operations.
 2. Explain the benefits of developing a viable continuity program.
 3. Identify the elements of a viable continuity program.
 4. Identify the processes, resources, and tasks necessary to implement and manage a successful continuity program.
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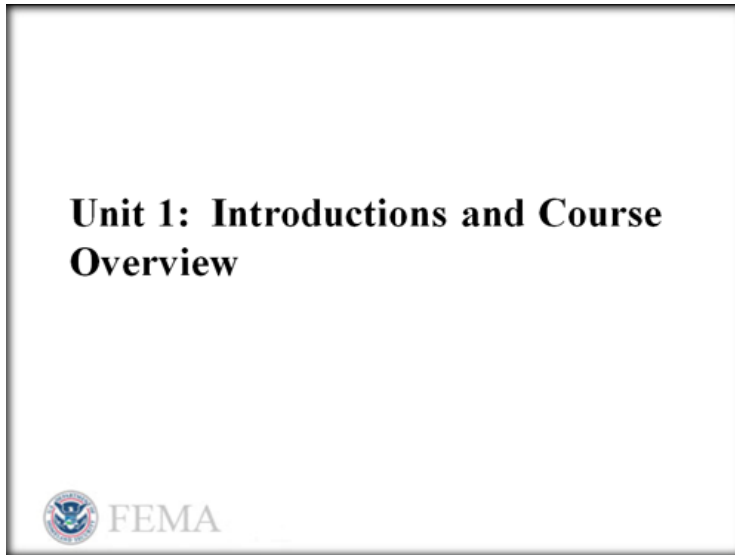
Scope

- Welcome and Introductions
 - Course Goals and Objectives
 - Course Agenda
 - Administrative Information
 - Why Have a Continuity Program?
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Welcome and Introductions	10 minutes
Course Goals and Objectives	5 minutes
Course Agenda	5 minutes
Administrative Information	5 minutes
Why Have a Continuity Program?	20 minutes
Summary and Transition	5 minutes
Total Time	50 minutes



Welcome to the Continuity Program Manager Course.

Student Introductions

Please present your:

- Name.
- Department or agency.
- Greatest need from this course.



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Course Goals

- Identify the legal basis for continuity planning.
- Explain the roles and responsibilities of the Continuity Program Manager.



1-3

The goal for this course is to acquaint you with the continuity planning directives guidance and the responsibilities of program management. This course will:

- Identify the legal basis for continuity planning.
- Explain the roles and responsibilities of the Continuity Program Manager.

This course will cover the most significant aspects of continuity planning and continuity program management.


Course Objectives

- Define Continuity of Operations.
- Explain the benefits of developing a viable continuity program.
- Identify the elements of a viable continuity program.
- Identify the processes, resources, and tasks necessary to implement and manage a successful continuity program.



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Course Agenda Sample		
	AM	PM
Day 1	Unit 1: Introductions and Course Overview Unit 2: Requirements for Continuity Planning	Unit 3: Elements of a Viable Continuity Program (Part I) Unit 4: Elements of a Viable Continuity Program (Part II)
Day 2	Unit 5: Developing Continuity Plans and Procedures Unit 6: Operating in a Continuity Environment	Unit 7: Developing a Corrective Action Program
Day 3	Unit 8: Family Support Planning Unit 9: Outreach and Resources	Unit 10: Course Summary and Final Exam


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1-5

This course will take 3 days to cover all of the material.

A brief description of the units in this course is presented below:

- Unit 2 will identify the legal basis for continuity planning and explain the roles and responsibilities of the continuity planning team members.
- Unit 3 will address the elements that make a continuity plan viable—essential functions, delegations of authority, succession planning, and continuity facilities.
- Unit 4 will address the remaining elements that make a continuity plan viable—continuity communications; vital records management; human capital; tests, training, and exercises; devolution of control and operations; and reconstitution operations.
- Unit 5 will explain the purpose of continuity planning and describe the organizational structure of a continuity program.
- Unit 6 will describe continuity site operations and address site-related issues.
- Unit 7 will focus on the effectiveness of a Corrective Action Program (CAP) to support a continuity program.
- Unit 8 will address the need for a family support plan and identify key family support planning issues.
- Unit 9 will identify some of the outreach programs that can assist with continuity planning.
- Unit 10 will summarize the key points from the course.

Administrative Information

- Hours
- Evacuation routes and fire exits
- Restrooms
- Smoking
- Breaks

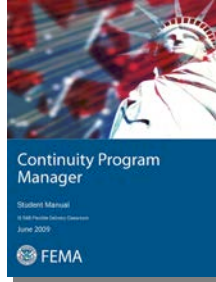
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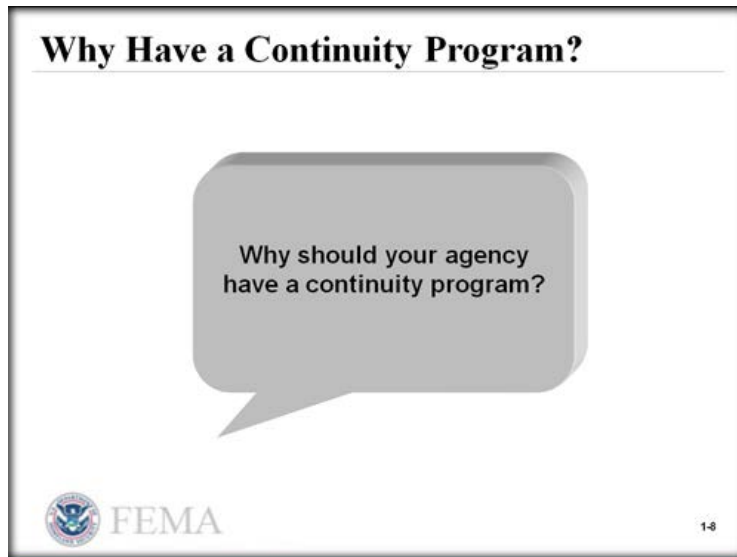
Course Materials

The Student Manual includes:

- **Course content.**
- **Activities.**
- **Job aids.**
- **Course visuals.**



1-7



Why Have a Continuity Program?

Continuity planning:

- Ensures the continuity of essential functions across a wide range of emergencies and events.
- Enables agencies to continue the functions that their customers depend on.
- Is part of the fundamental mission of all agencies.

Today's changing threat environment has increased the need for a continuity program.



Summary and Transition

This unit:

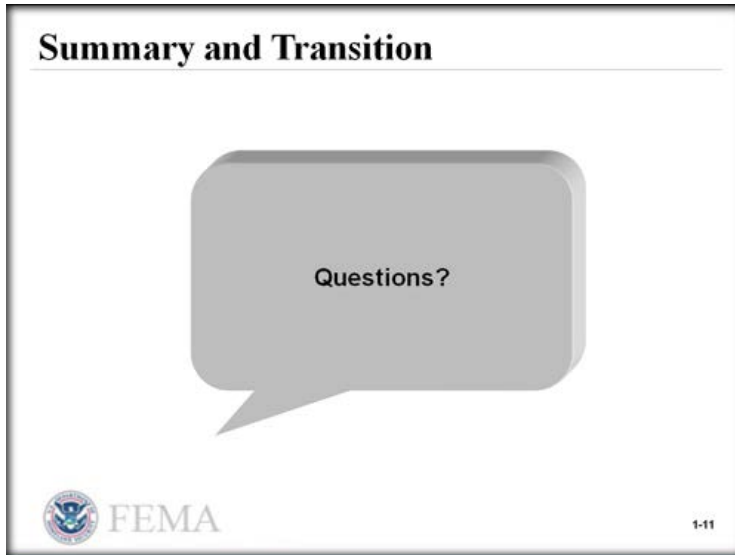
- Introduced you to the course objectives.
- Presented the course materials.
- Introduced and defined Continuity of Operations.
- Described the need for a continuity program within each agency.

Unit 2:

- Will cover the legal basis for continuity planning.



1-10



Unit 2: Requirements for Continuity Planning

Objectives

At the end of this unit, you should be able to:

1. Describe the requirements of National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20.
 2. Describe the guidance in Federal Continuity Directive (FCD) 1.
 3. Identify the objectives of Continuity of Operations.
 4. List the roles and responsibilities of the key players in a continuity program.
-

Scope

- Unit Overview and Objectives
 - Purpose and Goals of a Continuity Program
 - Continuity Planning Objectives
 - Legal Basis for Continuity of Operations
 - Continuity Roles and Responsibilities
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Purpose and Goals of a Continuity Program	10 minutes
Continuity Planning Objectives	20minutes
Legal Basis for Continuity of Operations	15 minutes
Continuity Roles and Responsibilities	25 minutes
Summary and Transition	5 minutes
Total Time	1 hour 20 minutes

**Unit 2: Requirements for
Continuity Planning**

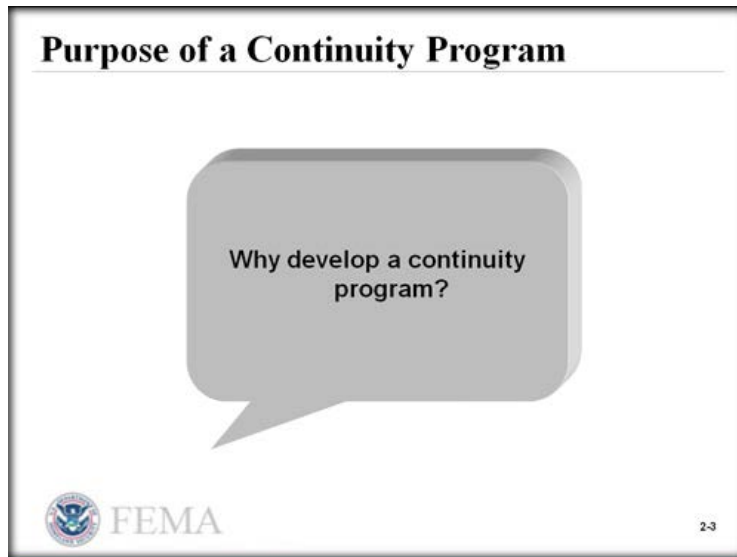


Unit Objectives

- Describe the requirements of NSPD 51/HSPD 20.
- Describe the guidance in FCD 1 and CGC 1.
- Identify the objectives of Continuity of Operations.
- List the roles and responsibilities of the key players in a continuity program.



2-2



Purpose of a Continuity Program

To document and ensure the capability of continuing agency essential functions during a wide range of potential emergencies.

Goals:

- Protect life and property.
- Provide for the continuity of essential services until normal operations can be resumed.



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2-4

Continuity Planning Objectives

What are some of the objectives realized by planning for Continuity of Operations?



2-5

Continuity Planning Objectives

Continuity planning helps to:

- Ensure continued performance during a continuity situation.
- Reduce loss of life and minimize damage and loss to critical processes and information.
- Ensure successful succession to office.
- Anticipate what might occur in order to mitigate disruptions.
- Ensure that facilities are available during a continuity situation.



2-6

Continuity Planning Objectives

Continuity planning helps to:

- Protect essential facilities, equipment, and vital records.
- Achieve a timely and orderly recovery from a continuity situation.
- Resume full service after an effective reconstitution.
- Maintain a test, training, and exercise program that supports the implementation of continuity plans.



Legal Basis for Continuity of Operations

- Continuity of Operations is a Federal initiative, required by Presidential directive.
- Federal Executive Branch agencies are required to continue their essential functions under a broad range of circumstances.



2-8

Federal directives apply only as guidance to State, local, tribal, and other organizations and entities. Organizations at all levels of government, as well as nongovernmental organizations (NGOs), can benefit from Federal directives and guidance for their continuity planning.

Key Federal Directives/Guidance

- To ensure continuity of essential functions:

NSPD 51/HSPD 20, issued May 2007

- To provide guidance for continuity of essential functions during all-hazard situations:

FCD 1, issued February 2008

CGC 1, issued January 2009



2-9

NSPD 51/HSPD 20

- Requires all Federal Executive Branch agencies to incorporate continuity into their daily operations
- Establishes NEFs for all continuity programs
- Assigns categories to each agency in accordance with its national security role and responsibilities
- Designates the National Continuity Coordinator to lead the development of a National Continuity Implementation Plan



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2-10

NSPD 51/HSPD 20 Requirements

Continuity plans must include:

- Plans to continue performance of PMEFs for 30 days or until normal operations can be resumed.
- Capability to be fully operational at continuity sites within 12 hours after plan activation.
- Orders of succession and delegations of authorities.
- Measures to safeguard and access vital records and resources.
- Provisions for acquiring resources for continued operations.



2-11

NSPD 51/HSPD 20 Requirements

Continuity plans must include:

- Redundant communications capabilities at continuity sites.
- Identification, training, and preparedness of the ERG.
- Reconstitution capabilities.



2-12

NSPD 51/HSPD 20—National Continuity Policy (Unclassified)

UNCLASSIFIED WITH TOP SECRET/CODEWORD ANNEXES

NATIONAL SECURITY PRESIDENTIAL DIRECTIVE/NSPD 51
HOMELAND SECURITY PRESIDENTIAL DIRECTIVE/HSPD 20

Subject: National Continuity Policy

Purpose

(1) This directive establishes a comprehensive national policy on the continuity of Federal Government structures and operations and a single National Continuity Coordinator responsible for coordinating the development and implementation of Federal continuity policies. This policy establishes "National Essential Functions," prescribes continuity requirements for all executive departments and agencies, and provides guidance for State, local, territorial, and tribal governments, and private sector organizations in order to ensure a comprehensive and integrated national continuity program that will enhance the credibility of our national security posture and enable a more rapid and effective response to and recovery from a national emergency.

Definitions

(2) In this directive:

(a) "Category" refers to the categories of executive departments and agencies listed in Annex A to this directive;

(b) "Catastrophic Emergency" means any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions;

(c) "Continuity of Government," or "COG," means a coordinated effort within the Federal Government's executive branch to ensure that National Essential Functions continue to be performed during a Catastrophic Emergency;

(d) "Continuity of Operations" means an effort within individual executive departments and agencies to ensure that Primary Mission Essential Functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies;

NSPD 51/HSPD 20—National Continuity Policy (Unclassified) (Continued)

- (e) "Enduring Constitutional Government," or "ECG," means a cooperative effort among the executive, legislative, and judicial branches of the Federal Government, coordinated by the President, as a matter of comity with respect to the legislative and judicial branches and with proper respect for the constitutional separation of powers among the branches, to preserve the constitutional framework under which the Nation is governed and 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 National Essential Functions during a catastrophic emergency;
- (f) "Executive Departments and Agencies" means the executive departments enumerated in 5 U.S.C. 101, independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the United States Postal Service;
- (g) "Government Functions" means the collective functions of the heads of executive departments and agencies as defined by statute, regulation, presidential direction, or other legal authority, and the functions of the legislative and judicial branches;
- (h) "National Essential Functions," or "NEFs," means that subset of Government Functions that are necessary to lead and sustain the Nation during a catastrophic emergency and that, therefore, must be supported through Continuity of Operations and Continuity of Government capabilities; and
- (i) "Primary Mission Essential Functions," or "PMEFs," means those Government Functions that must be performed in order to support or implement the performance of NEFs before, during, and in the aftermath of an emergency.

Policy

- (3) It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.

Implementation Actions

- (4) Continuity requirements shall be incorporated into daily operations of all executive departments and agencies. As a result of the asymmetric threat environment, adequate warning of potential emergencies that could pose a significant risk to the homeland might not be available, and therefore all continuity planning shall be based on the assumption that no such warning will be received. Emphasis will be placed upon geographic dispersion of leadership, staff, and infrastructure in order to increase survivability and maintain uninterrupted Government Functions. Risk management principles shall be applied to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences.

NSPD 51/HSPD 20—National Continuity Policy (Unclassified) (Continued)

(5) The following NEFs are the foundation for all continuity programs and capabilities and represent the overarching responsibilities of the Federal Government to lead and sustain the Nation during a crisis, and therefore sustaining the following NEFs shall be the primary focus of the Federal Government leadership during and in the aftermath of an emergency that adversely affects the performance of Government Functions:

(a) Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government;

(b) Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;

(c) 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;

(d) Maintaining and fostering effective relationships with foreign nations;

(e) 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;

(f) Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;

(g) Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems; and

(h) Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.

(6) The President shall lead the activities of the Federal Government for ensuring constitutional government. In order to advise and assist the President in that function, the Assistant to the President for Homeland Security and Counterterrorism (APHS/CT) is hereby designated as the National Continuity Coordinator. The National Continuity Coordinator, in coordination with the Assistant to the President for National Security Affairs (APNSA), without exercising directive authority, shall coordinate the development and implementation of continuity policy for executive departments and agencies. The Continuity Policy Coordination Committee (CPCC), chaired by a Senior Director from the Homeland Security Council staff, designated by the National Continuity Coordinator, shall be the main day-to-day forum for such policy coordination.

NSPD 51/HSPD 20—National Continuity Policy (Unclassified) (Continued)

(7) For continuity purposes, each executive department and agency is assigned to a category in accordance with the nature and characteristics of its national security roles and responsibilities in support of the Federal Government's ability to sustain the NEFs. The Secretary of Homeland Security shall serve as the President's lead agent for coordinating overall continuity operations and activities of executive departments and agencies, and in such role shall perform the responsibilities set forth for the Secretary in sections 10 and 16 of this directive.

(8) The National Continuity Coordinator, in consultation with the heads of appropriate executive departments and agencies, will lead the development of a National Continuity Implementation Plan (Plan), which shall include prioritized goals and objectives, a concept of operations, performance metrics by which to measure continuity readiness, procedures for continuity and incident management activities, and clear direction to executive department and agency continuity coordinators, as well as guidance to promote interoperability of Federal Government continuity programs and procedures with State, local, territorial, and tribal governments, and private sector owners and operators of critical infrastructure, as appropriate. The Plan shall be submitted to the President for approval not later than 90 days after the date of this directive.

(9) Recognizing that each branch of the Federal Government is responsible for its own continuity programs, an official designated by the Chief of Staff to the President shall ensure that the executive branch's Continuity of Operations and Continuity of Government policies in support of ECG efforts are appropriately coordinated with those of the legislative and judicial branches in order to ensure interoperability and allocate national assets efficiently to maintain a functioning Federal Government.

(10) Federal Government Continuity of Operations, Continuity of Government, and ECG plans and operations shall be appropriately integrated with the emergency plans and capabilities of State, local, territorial, and tribal governments, and private sector owners and operators of critical infrastructure, as appropriate, in order to promote interoperability and to prevent redundancies and conflicting lines of authority. The Secretary of Homeland Security shall coordinate the integration of Federal continuity plans and operations with State, local, territorial, and tribal governments, and private sector owners and operators of critical infrastructure, as appropriate, in order to provide for the delivery of essential services during an emergency.

(11) Continuity requirements for the Executive Office of the President (EOP) and executive departments and agencies shall include the following:

(a) The continuation of the performance of PMEFS during any emergency must be for a period up to 30 days or until normal operations can be resumed, and the capability to be fully operational at continuity sites as soon as possible after the occurrence of an emergency, but not later than 12 hours after continuity activation;

NSPD 51/HSPD 20—National Continuity Policy (Unclassified) (Continued)

- (b) Succession orders and pre-planned devolution of authorities that ensure the emergency delegation of authority must be planned and documented in advance in accordance with applicable law;
 - (c) Vital resources, facilities, and records must be safeguarded, and official access to them must be provided;
 - (d) Provision must be made for the acquisition of the resources necessary for continuity operations on an emergency basis;
 - (e) Provision must be made for the availability and redundancy of critical communications capabilities at continuity sites in order to support connectivity between and among key government leadership, internal elements, other executive departments and agencies, critical partners, and the public;
 - (f) Provision must be made for reconstitution capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations; and
 - (g) Provision must be made for the identification, training, and preparedness of personnel capable of relocating to continuity facilities to support the continuation of the performance of PMEFS.
- (12) In order to provide a coordinated response to escalating threat levels or actual emergencies, the Continuity of Government Readiness Conditions (COGCON) system establishes executive branch continuity program readiness levels, focusing on possible threats to the National Capital Region. The President will determine and issue the COGCON Level. Executive departments and agencies shall comply with the requirements and assigned responsibilities under the COGCON program. During continuity activation, executive departments and agencies shall report their readiness status to the Secretary of Homeland Security or the Secretary's designee.
- (13) The Director of the Office of Management and Budget shall:
- (a) Conduct an annual assessment of executive department and agency continuity funding requests and performance data that are submitted by executive departments and agencies as part of the annual budget request process, in order to monitor progress in the implementation of the Plan and the execution of continuity budgets;
 - (b) In coordination with the National Continuity Coordinator, issue annual continuity planning guidance for the development of continuity budget requests; and
 - (c) Ensure that heads of executive departments and agencies prioritize budget resources for continuity capabilities, consistent with this directive.

NSPD 51/HSPD 20—National Continuity Policy (Unclassified) (Continued)

- (14) The Director of the Office of Science and Technology Policy shall:
- (a) Define and issue minimum requirements for continuity communications for executive departments and agencies, in consultation with the APHS/CT, the APNSA, the Director of the Office of Management and Budget, and the Chief of Staff to the President;
 - (b) Establish requirements for, and monitor the development, implementation, and maintenance of, a comprehensive communications architecture to integrate continuity components, in consultation with the APHS/CT, the APNSA, the Director of the Office of Management and Budget, and the Chief of Staff to the President; and
 - (c) Review quarterly and annual assessments of continuity communications capabilities, as prepared pursuant to section 16(d) of this directive or otherwise, and report the results and recommended remedial actions to the National Continuity Coordinator.
- (15) An official designated by the Chief of Staff to the President shall:
- (a) Advise the President, the Chief of Staff to the President, the APHS/CT, and the APNSA on COGCON operational execution options; and
 - (b) Consult with the Secretary of Homeland Security in order to ensure synchronization and integration of continuity activities among the four categories of executive departments and agencies.
- (16) The Secretary of Homeland Security shall:
- (a) Coordinate the implementation, execution, and assessment of continuity operations and activities;
 - (b) Develop and promulgate Federal Continuity Directives in order to establish continuity planning requirements for executive departments and agencies;
 - (c) Conduct biennial assessments of individual department and agency continuity capabilities as prescribed by the Plan and report the results to the President through the APHS/CT;
 - (d) Conduct quarterly and annual assessments of continuity communications capabilities in consultation with an official designated by the Chief of Staff to the President;
 - (e) Develop, lead, and conduct a Federal continuity training and exercise program, which shall be incorporated into the National Exercise Program developed pursuant to Homeland Security Presidential Directive-8 of December 17, 2003 ("National Preparedness"), in consultation with an official designated by the Chief of Staff to the President;

NSPD 51/HSPD 20—National Continuity Policy (Unclassified) (Continued)

- (f) Develop and promulgate continuity planning guidance to State, local, territorial, and tribal governments, and private sector critical infrastructure owners and operators;
- (g) Make available continuity planning and exercise funding, in the form of grants as provided by law, to State, local, territorial, and tribal governments, and private sector critical infrastructure owners and operators; and
- (h) As Executive Agent of the National Communications System, develop, implement, and maintain a comprehensive continuity communications architecture.
- (17) The Director of National Intelligence, in coordination with the Attorney General and the Secretary of Homeland Security, shall produce a biennial assessment of the foreign and domestic threats to the Nation's continuity of government.
- (18) The Secretary of Defense, in coordination with the Secretary of Homeland Security, shall provide secure, integrated, Continuity of Government communications to the President, the Vice President, and, at a minimum, Category I executive departments and agencies.
- (19) Heads of executive departments and agencies shall execute their respective department or agency continuity plans in response to a localized emergency and shall:
- (a) Appoint a senior accountable official, at the Assistant Secretary level, as the Continuity Coordinator for the department or agency;
- (b) Identify and submit to the National Continuity Coordinator the list of PMEFs for the department or agency and develop continuity plans in support of the NEFs and the continuation of essential functions under all conditions;
- (c) Plan, program, and budget for continuity capabilities consistent with this directive;
- (d) Plan, conduct, and support annual tests and training, in consultation with the Secretary of Homeland Security, in order to evaluate program readiness and ensure adequacy and viability of continuity plans and communications systems; and
- (e) Support other continuity requirements, as assigned by category, in accordance with the nature and characteristics of its national security roles and responsibilities

General Provisions

- (20) This directive shall be implemented in a manner that is consistent with, and facilitates effective implementation of, provisions of the Constitution concerning succession to the Presidency or the exercise of its powers, and the Presidential Succession Act of 1947 (3 U.S.C. 19), with consultation of the Vice President and, as appropriate, others involved. Heads of executive departments and agencies shall ensure that appropriate support is available to the Vice President and others involved as necessary to be prepared at all times to implement those provisions.

NSPD 51/HSPD 20—National Continuity Policy (Unclassified) (Continued)

(21) This directive:

(a) Shall be implemented consistent with applicable law and the authorities of agencies, or heads of agencies, vested by law, and subject to the availability of appropriations;

(b) Shall not be construed to impair or otherwise affect (i) the functions of the Director of the Office of Management and Budget relating to budget, administrative, and legislative proposals, or (ii) the authority of the Secretary of Defense over the Department of Defense, including the chain of command for military forces from the President, to the Secretary of Defense, to the commander of military forces, or military command and control procedures; and

(c) Is not intended to, and does not, create any rights or benefits, substantive or procedural, enforceable at law or in equity by a party against the United States, its agencies, instrumentalities, or entities, its officers, employees, or agents, or any other person

(22) Revocation. Presidential Decision Directive-67 of October 21, 1998 ("Enduring Constitutional Government and Continuity of Government Operations"), including all Annexes thereto, is hereby revoked.

(23) Annex A and the classified Continuity Annexes, attached hereto, are hereby incorporated into and made a part of this directive.

(24) Security. This directive and the information contained herein shall be protected from unauthorized disclosure, provided that, except for Annex A, the Annexes attached to this directive are classified and shall be accorded appropriate handling, consistent with applicable Executive Orders.

FCD 1 and CGC 1

FCD 1:

- Provides direction to the Federal Executive Branch for developing continuity plans and programs to support continuation of NEFs.
- Identifies three supporting components and 10 primary elements for a viable continuity capability.

CGC 1:

- Mirrors FCD 1 content
- Provides guidance to non-Federal entities



2-13

The ultimate goal of continuity in the Federal Executive Branch is the continuation of National Essential Functions. For non-Federal agencies, continuity planning facilitates the performance of essential functions during all-hazard emergencies or other situations that may disrupt normal operations.

FCD 1 provides direction to the Federal Executive Branch for developing continuity plans and programs. FCD 1 identifies three supporting components and 10 primary elements of a viable continuity capability, which will be described next.

CGC 1 provides guidance to non-Federal entities.

FCD/CGC 1 Support Component 1

Continuity Plans and Procedures:

- Developing effective plans and procedures includes a TT&E program and the operational capability to implement the plans and procedures.
- Establishing planning and procedural objectives and requirements is an essential part of developing a viable continuity plan.



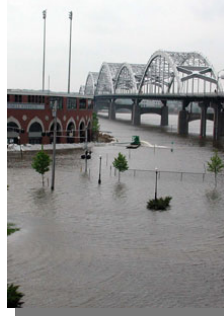
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FCD/CGC 1 Support Component 2

Risk Management:

A structured process for understanding the problems facing an organization:

- What can go wrong?
- How bad can it get? How fast?
- What is the likelihood that the undesired event might occur?
- What would be the impact should it occur?



2-15

The second component identified in FCD 1/CGC 1 is risk management.

A risk (or hazard) analysis model outlines the steps for a risk management process. Refer to the Risk Management Model on the following page.

Steps in the Risk Management Model

1. Inventory the critical functions provided by the organization. The analysis team should leverage the functions identified during the PMEF Identification and Analysis process.
2. Identify the hazards that can impact delivery of the critical functions. This step would include exploring potential natural events, intentional human-caused events, and nonintentional human-caused events that could adversely affect the ability of the organization to perform PMEFs. Natural hazards are those where the occurrence is beyond the control of the organization, including earthquakes, floods, ice storms, winter weather, and external fires. Intentional human-caused hazards are also beyond the direct control of the organization and could include events such as external sabotage and terrorism. Nonintentional human-caused events, such as power outages, fires, explosions, equipment failures, or human errors are generally within the control of the organization.
3. Develop continuity hazard scenarios. All of the assessment steps should be performed within the context of a set of scenarios, each of which is a unique combination of a particular hazard and the organization's PMEF. Within each scenario, the analysis team should consider risks to all four continuity pillars, as appropriate, recognizing that in most cases, all of the pillars must be available in order to deliver the function. The following steps outline the elements of the scenario risk assessment:
 - Determine the risk information needed to assess the risk. Describe the information necessary to assess the risk for each scenario. For each information item, specify the information type, precision, and certainty required, and the analysis resources available.
 - Assess the risk. For each scenario, the analysis team should assess the threat, vulnerability, and consequence, where:
 - a. Threat is the likelihood of a type of attack that might be attempted, or that the scenario will occur.
 - b. Vulnerability is the likelihood that an attacker would succeed with a particular attack type, or that the scenario will result in the expected level of consequence.
 - c. Consequence is the potential impact of a particular attack, or the negative impact of the scenario.

For this effort, consequence should be expressed in terms of failure to deliver the National Essential Functions (NEFs) (see Annex D). When evaluating consequences, the analysis team should consider both short- and long-term impacts for disasters and accidents, as well as intended and unintended effects from intentional attacks.

Depending on the nature of the scenario, the analysis team can use different tools to assess the scenario's risk. For instance, the team may be able to leverage historical accident reporting databases to assess the risk of accident scenarios, while detailed stochastic models may be available for assessing the risk of natural hazard scenarios. For scenarios where historical data or detailed modeling are scarce, subject matter expertise must be leveraged to produce the risk assessment.
 - Identify existing safeguards/countermeasures. For each scenario, the analysis team should identify the existing safeguards that are in place to reduce either the likelihood (e.g., security countermeasures) or consequence (e.g., redundant capabilities) of the hazard.

Steps in the Risk Management Model (Continued)

4. **Evaluation of alternatives.** For many scenarios, the current risk may be considered to be at an acceptable level. For those scenarios where the current level of risk is deemed to be unacceptable, action(s) must be taken to mitigate the risk. These actions must (1) provide a beneficial return on investment, (2) be acceptable to stakeholders, and (3) not cause other significant risk. Critical steps in this phase include:
 - **Developing alternative risk management strategies.** The analysis team should engage the appropriate stakeholders to determine how the risks for each scenario can be managed most effectively. These alternative strategies should be developed completely and documented by addressing all of the critical factors (e.g., cost, schedule).
 - **Assessing the risk impact of the proposed strategies.** The analysis team should reassess the risk of each scenario based on the implementation of each alternative strategy. This step will provide the risk reduction value of each of the alternative strategies.
5. **Management selection.** After alternative strategies have been developed fully, and their risk reduction value has been quantified, the risk management process moves to the management selection phase, where decisionmakers choose the collection of alternatives for implementation. The alternatives will be evaluated based on consideration of all of the previously identified critical factors, including effectiveness (risk reduction), efficiency, and cost effectiveness.

Another critical factor that should be considered is the confidence or belief that the alternative will achieve the projected level of performance. The effect of many of the alternative strategies may be well understood by the organization. For instance, these alternatives may have a proven track record of performance within other similar organizations, or they may have been extensively studied. The performance of other alternatives with less of a history may not be as well understood. The analysis team may believe that these less understood alternatives will achieve a level of satisfactory performance; however, their confidence is at a lower level.

During the management selection phase, decisionmakers need an understanding of both anticipated performance and confidence to ensure that the proper suite of actions is taken. Finally, decisionmakers must recognize that this process is cyclical, and many of the alternatives will be implemented in subsequent cycles because of limitations in resources and time.

Steps in the Risk Management Model (Continued)

6. Implementation and monitoring. Critical steps in this phase include:
- Implementing the chosen mitigation strategies. This step involves the implementation of the mitigation strategies identified during the management selection phase. These strategies should reduce the risk that the organization will be unable to meet the continuity requirements.
 - Developing metrics to measure effectiveness. The analysis team must develop a collection of metrics, both qualitative and quantitative, to measure the organization's ability to meet the continuity requirements. The metrics identified in NSPD 51/HSPD 20, Paragraph 11, for each of the continuity requirements, should serve as a guide in crafting the metrics.
 - Monitoring organizational performance. After the strategies have been implemented and the metrics have been developed, the organization should monitor the effectiveness of the actions taken to manage risk. The goal of the monitoring phase is to verify that the organization is getting the expected results from its risk management decisions. Key inputs into the monitoring phase include testing, training, and exercising. The results of the monitoring step will inform subsequent iterations of the risk management cycle.

Extracted from FCD 1. More information about the Risk Management process is included in the Continuity Planners Course.

FCD/CGC 1 Support Component 3

Budgeting and Acquisition of Resources:

Agencies must align and allocate the budgetary resources necessary to implement and manage the continuity program.



2-16

The third component identified in FCD 1/CGC 1 is budgeting and acquisition of resources.

FCD/CGC 1 Support Component 3

What resources do you need
to consider when you
complete budgeting and
acquisition?



2-17

FCD/CGC 1 Support Component 3

Budgeting and Acquisition of Resources:

- Human capital
- Communications
- Facilities
- Infrastructure (systems, etc.)
- Transportation



2-18

This list is not inclusive. Budgeting and acquisition should include all of the essential elements for a viable continuity program. These elements will be covered next.

FCD/CGC 1 Primary Elements

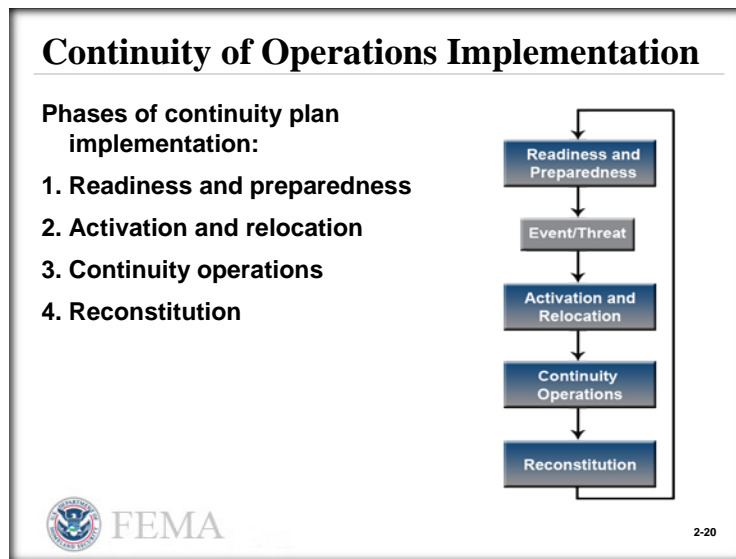
10 elements ensure a viable continuity program:

- Essential functions
- Orders of succession
- Delegations of authority
- Continuity facilities
- Continuity communications
- Vital records management
- Human capital
- Tests, training, and exercises
- Devolution of control and direction
- Reconstitution operations



2-19

These primary elements for a viable continuity plan will be covered in detail in the next two units.



A continuity plan is implemented to ensure the continuation or rapid resumption of essential functions during a continuity event. Implementation of the continuity plan should be based on a pre-established decisionmaking process that allows for a review of the emergency and a determination of the best course of action based on the agency's readiness posture.

Continuity Roles and Responsibilities

FEMA is:

- The lead agent for continuity planning within the Federal Executive Branch.
- Responsible for issuing guidance to promote the understanding of and compliance with Federal mandates and requirements.

The responsibility for actual continuity planning lies within each Federal agency.

State and local governments should designate their own lead agents for continuity planning.



2-21

Role of Non-Federal Jurisdictions

State, local, territorial, and tribal governments play an integral role in:

- Determining the needs of the public.
- Ensuring that essential functions continue on a daily basis.
- CGC 1 is guidance for non-Federal entities.



FEMA

2-22

FCD 1 requires that Federal plans and operations are integrated with the emergency and continuity plans and capabilities of State, local, territorial, and tribal governments, and private-sector owners of the Nation's critical infrastructure, to promote interoperability, and prevent redundancies and conflicting lines of authority.

Agency Roles and Responsibilities

- All Federal departments and agencies are responsible for carrying out the direction of NSPD 51/HSPD 20.
- Regardless of government level, continuity planning responsibilities fall to several department/agency levels.



2-23

Role of the Agency Leader

How are agency leaders involved in continuity planning?



2-24

Role of the Agency Leader

Agency leaders establish continuity planning as a priority by:

- Appointing a Continuity Program Manager.
- Ensuring budgetary support.
- Monitoring the progress of the continuity planning effort.



2-25

Role of the Continuity Program Manager

The Continuity Program Manager:

- Oversees the overall development of the continuity plan.
- Serves as the agency's coordinator for Continuity of Operations.
- Is responsible for developing, coordinating, and managing all activities enabling the performance of essential functions during a continuity situation.
- Chairs the agency's internal continuity planning team or CWG.



2-26

Continuity Program Manager Skills

What skill sets are needed by the Continuity Program Manager?



2-27

Continuity Program Manager Skill Sets

Skills that every Continuity Program Manager needs are:

- Business management skills.
- Interpersonal skills.
- Communication skills.
- Facilitation skills.



2-28

The skills that every Continuity Program Manager needs are:

- Business management skills—assessment, data collection, analysis, and development of funding needs and justifications—all concluding with a clear return on investment projection.
- Interpersonal skills—the ability to adapt leadership and communication styles to the individual preferences of those on the planning team.
- Communication skills—both oral and written.
- Facilitation skills—especially the ability to negotiate, to find balance in the middle ground, weigh alternatives, and collect consensus from seemingly opposite positions.

Role of the Continuity Planner

The Continuity Planner manages day-to-day continuity plan development:

- Coordinating with the planning team
- Managing plan development
- Overseeing tests, training, and exercises; corrective action planning; and long-term planning efforts



2-29

Role of the Continuity Planning Team

Members of the continuity planning team should be:

- Selected based on their expertise in specific areas related to the agency's essential functions.
- Assigned specific portions of the continuity plan to research and develop.
- Able to work collaboratively with other team members.



2-30

Role of the ERG

Responsibilities of the Emergency Relocation Group (ERG) are to:

- Participate in continuity tests, training, and exercises.
- Prepare office go kits that contain all of the information, supplies, and materials needed initially for continuity plan activation.
- Ensure that they and their families are prepared for an emergency that may require continuity plan activation.
- Report to the continuity facility, or other assigned work area, whenever the continuity plan is activated.



2-31

Summary and Transition

This unit:

- Explained the legal requirements for continuity planning.
- Identified the objectives of Continuity of Operations.
- Described the roles and responsibilities of key players in a continuity program.

Unit 3:

- Will cover elements of a viable continuity program.



Summary and Transition

Questions?



2-33

Unit 3: Elements of a Viable Continuity Program (Part I)

Objectives

At the end of this unit, you should be able to:

1. Identify your agency's essential functions.
 2. Determine whether your agency's orders of succession meet the requirements of FCD 1 and CGC 1 guidance.
 3. Determine whether your agency's delegations of authority cover all critical functions.
 4. Determine whether your agency has identified adequate continuity facilities.
 5. Describe the requirements for continuity communications.
-

Scope

- Unit Overview and Objectives
 - Essential Functions
 - Orders of Succession
 - Delegations of Authority
 - Continuity Facilities
 - Continuity Communications
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Essential Functions	40 minutes
Orders of Succession	10 minutes
Delegations of Authority	40 minutes
Continuity Facilities	10 minutes
Continuity Communications	10 minutes
Summary and Transition	5 minutes
Total Time	2 hours

A rectangular box containing the title "Unit 3: Elements of a Viable Continuity Program (Part I)" in bold black text. At the bottom left of the box is the FEMA logo, which includes the Department of Homeland Security seal and the text "FEMA".

Unit 3: Elements of a Viable Continuity Program (Part I)



All Continuity of Operations plans have certain elements in common. An effective continuity plan includes all of these elements, providing “viability” to the plan. Unit 3 will address five of the ten elements that make a continuity plan viable. The elements covered in this unit are:

- Essential functions.
- Orders of succession.
- Delegations of authority.
- Continuity facilities.
- Continuity communications.

The remaining elements will be covered in Unit 4.

Unit Objectives

- Identify your agency's essential functions.
- Determine whether orders of succession meet the requirements of FCD 1 and CGC 1 guidance.
- Determine whether delegations of authority cover all critical functions.
- Determine if continuity facilities are adequate.
- Describe the requirements for continuity communications.



3-2

What Is an Essential Function?

What is an essential function?



3-3

What Is an Essential Function?

FCD 1 and CGC 1 define essential functions as those functions that are required to:

- Provide vital services.
- Exercise civil authority.
- Maintain the safety of the general public.
- Sustain the economic base during an emergency.



Essential functions are an agency's business functions that must continue with no or minimal interruption.



3-4

Types of Essential Functions

FCDs 1 and 2 define three types of essential functions:

- National Essential Functions (NEFs)
- Primary Mission Essential Functions (PMEFs)
- Mission Essential Functions (MEFs)

State, local, territorial, and tribal governments use CGC 1 as a guide to define essential functions.



National Essential Functions (NEFs)

NEFs are the subset of government functions necessary to lead and sustain the Nation during a catastrophic emergency.

- NEFs must be supported through continuity capabilities.
- State and tribal governments may have an equivalent to NEFs.



3-6

National Essential Functions (NEFs)

The following NEFs are the foundation for all continuity programs and capabilities and represent the overarching responsibilities of the Federal Government to lead and sustain the Nation during a crisis, and therefore, sustaining the following NEFs shall be the primary focus of the Federal Government leadership during, and in the aftermath of, an emergency that adversely affects the performance of government functions:

- Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government.
- Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people.
- 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.
- Maintaining and fostering effective relationships with foreign nations.
- 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.
- Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident.
- Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems.
- Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.

Primary Mission Essential Functions (PMEFs)

PMEFs are those agency mission essential functions that must be performed to support or implement the performance of NEFs before, during, and after an emergency.

PMEFs:

- Must be performed continuously during an event or resumed within 12 hours of an event.
- Need to be maintained for up to 30 days after an event or until normal operations can be resumed.



Mission Essential Functions (MEFs)

MEFs must be performed to support or implement the performance of Federal, State, local, territorial, or tribal essential functions before, during, and after an emergency.

MEFs include:

- Personnel safety.
- Public safety.
- A safe, functioning infrastructure.



3-8

Departments and agencies will identify additional MEFs based on their missions and responsibilities. State, local, territorial, and tribal organizations should consider the MEFs identified at higher levels of government.

Identifying Mission Essential Functions

Identify PMEFS and MEFs by referring to laws, Presidential Directives, Executive Orders, and other authorities that dictate agency functions.

Consider functions that:

- Must be continued in all circumstances.
- Cannot be interrupted for more than 12 hours.



FCD 2 Guidance

FCD 2: Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process

FCD 2:

- Provides guidance for identifying MEFs and PMEFS.
- Applies to all Federal Executive Branch departments and agencies.
- Is useful for State, local, territorial, and tribal governments, and nongovernmental organizations (NGOs).



3-10

Note that government agencies at all levels should also identify all government functions that they must perform that are not identified as essential.

Prioritizing MEFs

Prioritize MEFs according to:

- Their relationships to PMEFs.
- The criticality of the function.
- Likely continuity activation protocols and scenarios.



3-11

Sometimes, priorities may be situation dependent. Note the following example:

The Centers for Disease Control and Prevention's, or other public health service's, essential functions will be an extremely high priority in the event of a suspected biological attack or a pandemic. The essential functions of this agency would not be as critical for a widespread flooding event.

Drivers of Essential Functions

Essential functions are driven by:

- Trained personnel (human capital).
- Vital records and databases.
- Supplies.
- Equipment and systems.

These vital resources must be safeguarded, available, and accessible to support Continuity of Operations.



FEMA

3-12

Other Government Functions

Agencies also need to identify all functions that they perform that do not rise to the level of PMEFS or MEFs.

Example:

Payroll and personnel actions are government functions that must continue during a continuity situation.



3-13

During the continuity planning process, the planning team should also identify their agency's and customers' functions and ensure that those functions can continue during a continuity situation.

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Activity: Identifying Essential Functions

Purpose: The purpose of this activity is to give you an opportunity to identify essential functions required of your agency.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
2. Consider your agency's mission and critical services, and identify one agency PMEF.
3. Identify one MEF that supports the identified PMEF.
4. Identify one function that does not rise to the level of PMEF or MEF but is required to support those identified.
5. You will have 10 minutes to complete this activity.
6. Select a spokesperson to present your group's essential functions to the class. Be prepared to discuss your rationale for selecting the supporting function.

PMEF:

MEF:

Support Function:

Orders of Succession

Orders of succession provide for the orderly, predetermined assumption of senior agency offices during an emergency in the event that any officials are unavailable or unable to execute their legal duties.

Recommendations:

- Support day-to-day operations
- Three deep
- One of three should not be located at the primary facility



3-15

The next element of a viable continuity program is to identify orders of succession. Succession to office is critical in the event that the agency leadership is unavailable, debilitated, or incapable of performing their legally authorized duties, roles, and responsibilities.

Orders of succession provide for the orderly and predetermined assumption of senior agency positions during an emergency in the event that the agency leadership is unavailable or unable to execute their legal duties.

Orders of succession are not merely a continuity function. They should be developed to support day-to-day operations. Orders of succession should be at least three deep and include at least one person whose day-to-day job is physically located at a different site from the primary facility.

Information in Orders of Succession

All orders of succession should include the:

- Conditions under which succession takes place.
- Method of notification.
- Conditions under which authority returns to the agency leader.

All orders of succession should be:

- Reviewed by the agency's General Counsel or equivalent.
- Maintained with the agency's vital records.



3-16

Delegations of Authority

Delegations of authority:

- Specify the activities that may be performed by those authorized to act on behalf of the agency head or other key officials.
- Document the legal authority for officials to make key policy decisions during a continuity situation.

Delegations of authority ensure:

- Continued operation of essential functions.
- Rapid response to any emergency situation requiring continuity plan implementation.

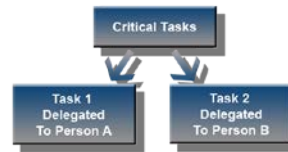


3-17

Information in Delegations of Authority

Delegations of authority state specifically:

- The authority being delegated.
- The limits of that authority.
- To whom the authority is delegated.
- The circumstances under which delegated authorities become effective and when they terminate.
- The successor's authority to redelegate those authorities.



3-18

Like orders of succession, delegations of authority are not exclusive to continuity but are necessary for day-to-day operations. Delegations of authority should be determined before an emergency to ensure continued operations of critical functions.

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Activity: Delegations of Authority

Purpose: The purpose of this activity is to give you an opportunity to develop a delegation of authority for a senior position within your agency.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
 2. Refer to the PMEF developed in the previous activity.
 3. Using the space below, develop a delegation of authority for the senior position responsible for the PMEF.
 4. You will have 15 minutes to complete this activity.
 5. Select a spokesperson to present your group's delegation of authority to the class.
-

Continuity Facilities

FCD/CGC 1 requires the identification of a location, other than the primary facility, that can be used to carry out essential functions in a continuity situation.

Agencies should also identify one or more devolution sites in case the continuity facility is inoperable.



3-20

Continuity Facilities

Selecting a suitable continuity facility involves:

- Analyzing a range of factors.
- Prioritizing the factors based on the agency's requirements.
- Locating a distance from the primary facility to avoid impact from the incident.



It is important to note that:

- Continuity facility selection should be based on an analysis of a combination of factors, including:
 - Size requirements.
 - Security requirements.
 - Distance from probable hazards.
 - Accessibility for ERG personnel.
 - Utilities needed and available.
 - Proximity to hotels, restaurants, medical facilities, etc.

Prioritizing the factors based on the organization's requirements is the first step in locating a suitable continuity facility.

- If possible, the continuity facility should be far enough from the primary facility so that it will not be impacted by the incident that is occurring at or near the primary facility.

Continuity Communications

... The capability to continue communications with internal and external customers until normal operations can be resumed.

Effective continuity communications supports:

- Execution of the agency's essential functions.
- Internal and external communications.
- Access to data, systems, and services.



3-22

Continuity Communications

Continuity communications must be:

- Redundant.
- Available within 12 hours of activation.
- Sustainable for up to 30 days, or until normal operations can be resumed.



3-23

Summary and Transition

This unit:

- Reviewed some of the elements of a viable continuity program.

Unit 4:

- Will cover the remaining essential elements of a viable continuity program.



3-24

This unit reviewed some of the elements of a viable continuity program.

Unit 4 will cover the remaining essential elements of a viable continuity program.

Summary and Transition

Questions?



3-25

Unit 4: Elements of a Viable Continuity Program (Part II)

Objectives

At the end of this unit, you should be able to:

1. Describe a vital records program.
 2. Identify the human capital issues in a continuity situation.
 3. Explain the components of an effective test, training, and exercise program.
 4. Identify the steps for developing a viable devolution plan.
 5. Describe the process for reconstitution of operations.
-

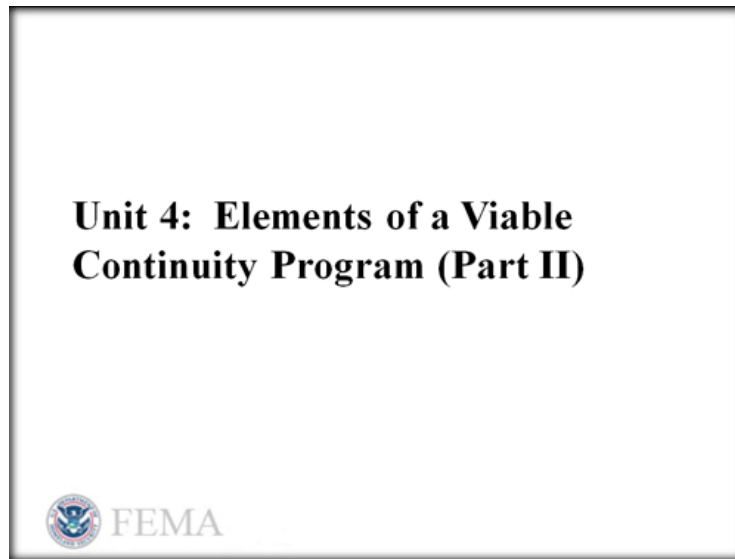
Scope

- Unit Overview and Objectives
 - Vital Resource Management
 - Human Capital
 - Test, Training, and Exercise (TT&E)
 - Devolution of Control and Operations
 - Reconstitution
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Vital Resource Management	45 minutes
Human Capital	20 minutes
Test, Training, and Exercise (TT&E)	20 minutes
Devolution of Control and Operations	20 minutes
Reconstitution	10 minutes
Summary and Transition	5 minutes
Total Time	2 hours 5 minutes



Unit 4 will address the final five of the ten elements that make a continuity program viable. The elements covered in this unit are:

- Vital resource management.
- Human capital.
- Test, training, and exercise program.
- Devolution of control and direction.
- Reconstitution operations.

Unit Objectives

- Describe a vital records program.
- Identify special human capital issues in a continuity situation.
- Explain the components of an effective test, training, and exercise program.
- Identify the steps for developing a viable devolution plan.
- Describe the process for reconstitution operations.



4-2

Vital Resource Management

Vital resources are the personnel, equipment, systems, infrastructure, supplies, and other assets required to perform essential functions. These assets:

- Must be safeguarded, available, and accessible to support continuity operations.
- Depend on a vital records program to manage the identification, protection, and ready availability of electronic and hardcopy documents.



4-3

Identifying Vital Records

Emergency operating records:

- Plans and directives
- Orders of succession
- Delegations of authority
- Staffing assignments



Rights and interests records:

- Personnel records
- Social Security records
- Payroll records
- Retirement records
- Insurance records
- Contract records



Note the examples of rights and interests records:

- Personnel records
- Social Security records
- Payroll records
- Retirement records
- Insurance records
- Contract records

A sound vital records program facilitates continuity operations by:

- Providing the information required to perform essential functions.
- Enabling agencies to identify, acquire, and track the use of personnel, equipment, systems, infrastructure, supplies, and other assets required to operate in a continuity situation.

Types of Vital Records

There are two types of vital records:

- **Static records** change little or not at all over time.
- **Active records** change constantly with circumstances or as work is completed.

Both types of vital records are essential so that operations can be maintained, or resumed quickly, following an interruption.



4-5

Refer to the Vital Records section of the Continuity Evaluation Tool on the following page.

Continuity Evaluation Tool: Vital Records Management

CONTINUITY EVALUATION TOOL: VERSION 6; VITAL RECORDS MANAGEMENT**Vital Records Management***Element Color Determination:* _____

Exercise Evaluation Guide

Capability Description: Each department and agency continuity program, plan, and procedure should account for identification and protection of those vital records and mission critical systems and databases, to include classified or sensitive data, as applicable, that are necessary to perform essential functions and activities, and to reconstitute normal operations after the emergency ceases. Agencies should preposition, and update on a regular basis, duplicate records and databases or backup electronic media. The agency's Vital Records Program must be reviewed periodically and updated accordingly.

Jurisdiction or Organization:

Name of Exercise:

Location:

Date and Period of Time Evaluated:

Evaluator:

Evaluator Contact Info:

Continuity Evaluation Tool: Vital Records Management (Continued)

Activity 1: Identify all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.1*	Vital records program identified and protected those records that specified how an agency will immediately operate and continue to operate during a continuity situation. [FCD 1 Annex I, Page I-1, Bullet #1a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.2*	Vital records program identified those records needed to protect the legal and financial rights of the Government and citizens. [FCD 1 Annex I, Page I-2, Bullet #1c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.3	Agency incorporated its vital records program into the overall continuity program, plans, and procedures. [FCD 1 Annex I, Page I-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.4	Agency vital records program included appropriate policies, authorities, procedures, and the written designation of a vital records manager. [FCD 1 Annex I, Page I-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.5	Agency maintained a complete inventory of vital records along with locations of and instructions on accessing those records. [FCD 1 Annex I, Page I-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Vital Records Management (Continued)

Activity 2: Maintain access to all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity situation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.6*	Vital records, at a minimum, must be annually reviewed, rotated, or cycled so that the latest version will be available. [FCD 1 Annex I, Page I-3, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.7	Agency inventory of vital records maintained at an alternate site. [FCD 1 Annex I, Page I-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.8	Agency performed a risk assessment to identify risks if vital records are retained in current locations and media, and the difficulty of reconstituting them if they are destroyed. [FCD 1 Annex I, Page I-2, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.9	Agency ensured appropriate protections for vital records and for dispersing those records to other agency locations. [FCD 1 Annex I, Page I-2, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Vital Records Management (Continued)

Activity 3: Create and maintain a vital records plan packet for the agency that includes all applicable materials needed during continuity operations.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.10	Agency developed and maintained a vital records plan packet or collection that included a hard copy or electronic list of key agency personnel and continuity personnel with up-to-date telephone numbers. [FCD 1 Annex I, Page I-3, Bullet #9a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.11	Agency developed and maintained a vital records plan packet or collection that contained an inventory with precise locations of vital records. [FCD 1 Annex I, Page I-3, Bullet #9b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.12	Agency developed and maintained a vital records plan packet or collection that contained the necessary keys or access codes. [FCD 1 Annex I, Page I-3, Bullet #9d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.13	Agency developed and maintained a vital records plan packet or collection that listed alternate operating facility locations. [FCD 1 Annex I, Page I-3, Bullet #9e] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.14	Agency developed and maintained a vital records plan packet or collection that had a listing of the access requirements and lists of the sources of equipment necessary to access the records. [FCD 1 Annex I, Page I-3, Bullet #9f] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.15	Agency developed and maintained a vital records plan packet or collection that listed records recovery experts or vendors. [FCD 1 Annex I, Page I-3, Bullet #9g] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Vital Records Management (Continued)

I.16	Agency developed and maintained a vital records plan packet or collection that included a copy of the agency's continuity plans. [FCD 1 Annex I, Page I-3, Bullet #9h] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.17	Agency reviewed its vital records plan packet or collection, within the past year, with the date and names of the personnel who conducted the review documented in writing to ensure that the information is current, and with a copy of the review maintained at the agency's alternate facility. [FCD 1 Annex I, Page I-3, Below Bullet #9h] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 4: Review, train, and test agency vital records program and capabilities, with all training and testing sessions recorded within agency records.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.18*	Agency annually reviewed the vital records program to address new security issues, identified problem areas, updated information, and incorporated any additional vital records generated by new agency programs or functions or by organizational changes to existing programs or functions. [FCD 1 Annex I, Page I-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.19	Agency conducted annual training regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity situation for all staff involved in the vital records program, to include periodic briefings to managers about the vital records program and its relationship to their vital records and business needs, as reflected in agency training records. [FCD 1 Annex I, Page I-3, Bullet #10; FCD 1 Annex K, Page K-2, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.20	Agency annually tested their capabilities for protecting classified and unclassified vital records, and for providing access to them from the alternate facility, as reflected in agency testing records. [FCD 1 Annex I, Page I-3, Bullet #12] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Vital Records Management (Continued)

Tasks	I.1*	I.2*	I.3	I.4	I.5	I.6*	I.7	I.8	I.9	I.10	I.11	I.12	I.13	I.14	I.15	I.16	I.17	I.18*	I.19	I.20	Total	
Yes																						
No																						
N/A																						

An Asterisk (*) after a task number denotes critical task item.

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Activity: Identifying Vital Records

Purpose: The purpose of this activity is to give you an opportunity to consider the vital records needed to support a PMEF.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
 2. Refer to the PMEF that you identified in Unit 3.
 3. Use the space below to identify and record as many vital records as possible that are required to support the PMEF.
 4. You will have 15 minutes to complete this activity. When you are finished, select a spokesperson to present your group's responses to the class.
-

Getting a Vital Records Program Started

A vital records program involves:

- Establishing and assigning responsibility for the program.
- Developing a records maintenance program.
- Testing the program to ensure that it works as planned.



4-7

Vital records programs consist of a series of components that range from establishing and assigning responsibility for the program, to developing a records maintenance program, and testing the program to ensure that it works as planned.

These components work together to ensure a vital records program that provides for the identification, protection, and ready availability of all vital records.

A vital records program is mandatory for Federal Government operations. State, local, territorial, and tribal governments also have vital records that should be incorporated into a vital records program for continuity purposes.

Refer to the Components of an Effective Vital Records Program on the following page.

Components of an Effective Vital Records Program

<p>1. Officially establish the program and assign responsibility.</p>	<p>The department or agency leader should establish the vital records program at the same time that he or she establishes the continuity program. The agency leader should establish the vital records program in writing and specify:</p> <ul style="list-style-type: none"> ▪ The program's purpose and scope. ▪ Roles and responsibilities. ▪ Support for staff training. ▪ The requirement for periodic review and testing.
<p>2. Select appropriate media for accessing vital records within 12 hours.</p>	<p>Within 12 hours, or less, continuity personnel must be able to access:</p> <ul style="list-style-type: none"> ▪ A local area network (LAN). ▪ Vital electronic records. ▪ Critical information systems and data. ▪ Internal and external e-mail and archives. ▪ Vital hardcopy records. <p>Consider multiple redundant media for storage of vital records. Identify these methods in records management policies and in the continuity plan.</p>
<p>3. Determine a location for the records, compile access information, and plan for inventory maintenance.</p>	<p>This step involves:</p> <ul style="list-style-type: none"> ▪ Identifying the location for the records. ▪ Developing <u>complete</u> access information, including who can access them, how, and password information. ▪ Developing a complete inventory of all records.
<p>4. Complete a risk assessment for the vital records program.</p>	<p>Complete a risk assessment to:</p> <ul style="list-style-type: none"> ▪ Identify the risks involved if the vital records are retained in their current locations and in their current media. ▪ Determine if offsite storage is required. ▪ Determine if alternate storage media are advisable. ▪ Determine if duplication is advisable. <p>By law, vital records must be stored in facilities that are dry, temperature controlled, and dust free.</p>
<p>5. Select appropriate protection methods.</p>	<p>The site at which vital records are stored must have controlled access separate from the site where the records were created or used regularly. Also, because different types of media have different protection requirements, the requirements for protecting each type of record must be considered.</p>

Components of an Effective Vital Records Program (Continued)

6. Develop procedures for updating vital records.	This is the step at which the periodic review and testing of the vital records program begins. During each review and update cycle, records should be checked to ensure that the information that they contain is still essential. Spot checks and tests can also help identify missing or excluded vital records.
7. Identify records recovery experts and vendors.	The length of time required to recover vital records can add considerably to the time it takes an agency to become operational in a continuity situation. Get expert assistance to minimize recovery time. Consider standby contracts as a method for ensuring rapid response while minimizing costs.
8. Develop a vital records packet.	<p>The vital records packet should include:</p> <ul style="list-style-type: none"> ▪ A list of key personnel and the ERG, with current contact information. ▪ A complete inventory of the vital records and their exact locations. ▪ Necessary keys and/or access codes for the records. ▪ The locations of continuity facilities or devolution site(s). <p>Periodic reviews are needed to ensure that the information is current. Multiple copies in secure locations will ensure that the packet can be accessed easily, by authorized personnel, when needed.</p>
9. Develop and provide training for all involved staff.	<p>Staff training needs to focus on:</p> <ul style="list-style-type: none"> ▪ Identification of vital records. ▪ Inventorying vital records. ▪ Protection of vital records. ▪ Storage requirements for vital records. ▪ Access to vital records. ▪ Periodic update of vital records. <p>Training should include periodic briefings to managers about the vital records program. The briefings should address vital records policies and procedures and personnel responsibilities.</p>

Components of an Effective Vital Records Program (Continued)

10. Develop a periodic review program.	The periodic review program should: <ul style="list-style-type: none">▪ Address new security issues that have been identified since the last review.▪ Update information in the records, as necessary.▪ Identify additional records from new programs or organizational changes.▪ Provide an opportunity to familiarize staff with the program.
11. Test capabilities for protecting and providing access to vital records.	Testing is required semiannually. Test capabilities for: <ul style="list-style-type: none">▪ Protecting classified and unclassified vital records and databases.▪ Providing access to vital records from continuity facilities or devolution sites. These capabilities will ensure that the vital records program supports the continuity program effectively.

Information to Establish a Vital Records Program

What information do you need to establish a vital records program?



4-8

Vital Records Program Questions

- What records are vital for continuity?
- How many vital records are there?
- On what media do the records exist?
- How often do they require change or updating?
- Where are the vital records located?
- Are the vital records classified? At what level?



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4-9

Vital Records Program Questions

- Who needs to use the vital records on site?
- Is the need immediate?
- How much storage is available on site?
- Is the storage facility climate controlled?
- Is access to the storage facility limited?
- Is a records recovery plan or strategy in place?



4-10

Human Capital

... the sum of talent, energy, knowledge, and enthusiasm that people invest in their work.

In continuity situations, agencies have to perform essential functions with reduced staffing.

Agencies should ensure that all ERG personnel are trained and cross-trained to perform all essential functions.



4-11

Human Capital Considerations

Concerns for human capital in continuity situations include:

- Designating the ERG.
- Communicating with all employees.
- Providing guidance to all employees.
- Using telework and continuity locations.



4-12

Designating the Emergency Relocation Group

Employees designated as part of the ERG must:

- Possess the skills for their assigned function(s).
- Be able to remain calm in an emergency.
- Be trained and equipped to perform their continuity assignments.



4-13

Communicating With Employees

**Notify primary and alternate
ERG personnel in writing.**



**Keep all employees informed
of agency status, from plan
activation through
reconstitution.**



4-14

Information to Provide to All Employees

What information should you provide to all employees?



4-15

Information to Provide to All Employees

- A phone number or other means of getting information
- The information that will be included on the recording (agency status, pay information, etc.)
- How often information will be updated
- What to do and who to contact if other information is required
- The types of information that will be provided (and to whom)



4-16

Information to Provide to All Employees

How can you provide necessary information to all employees?



4-17

Communicating With Employees

Ways to ensure that all personnel know what to do in a continuity situation include:

- Scheduling meetings to explain what to expect and what to do upon continuity plan activation.
- Conducting regular drills and other exercises.
- Establishing and testing an agency notification system for ERG and non-ERG personnel.
- Developing and testing procedures to account for all employees in an emergency.



4-18

HR Needs During Continuity Operations

A continuity situation raises personnel questions that only a human resources (HR) officer can answer.

HR officers are familiar with and understand human capital:

- Tools.
- Flexibilities.
- Strategies.



4-19

A continuity situation will raise personnel questions that only a human resources (HR) officer can answer. Human resources officers are familiar with and understand human capital tools, flexibilities, and strategies available during emergencies.

A representative from the agency's HR staff should serve as a member of the continuity planning team. A Human Capital Liaison is effectively involved in addressing the human capital issues related to continuity planning and preparedness.

HR Needs During Continuity Operations

Continuity-specific human capital issues include:

- Pay and leave.
- Telework and alternate work locations.
- Work schedules.
- Hiring.
- Benefits.



4-20

Continuity Evaluation Tool: Human Capital

CONTINUITY EVALUATION TOOL: VERSION 6; HUMAN CAPITAL**Human Capital****Element Color Determination: _____***Exercise Evaluation Guide*

Capability Description: In a continuity event, continuity personnel and other special categories of employees will be activated by an agency to perform their assigned response duties. Agency plans and procedures for all employees should be included or referenced in the continuity plans, as well as in other types of emergency response planning documents. An agency must ensure that its human capital strategies for its continuity personnel are adaptable to changing circumstances and a variety of emergencies, and that these strategies and procedures are reviewed regularly and updated, as appropriate.

Jurisdiction or Organization:**Name of Exercise:****Location:****Date and Period of Time Evaluated:****Evaluator:****Evaluator Contact Info:**

Continuity Evaluation Tool: Human Capital (Continued)

Activity 1: Identify continuity leadership and staff, and establish agency human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.1*	Agency head or designee had identified and designated those positions and personnel he or she judged to be critical to agency operations in any given emergency situation as members of the emergency relocation group (ERG). [FCD 1 Annex J, Page J-1, Bullet #1, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.2*	Agency ERG members possess the skill sets necessary to perform essential functions and supporting tasks. [FCD 1 Annex J, Page J-1, Bullet #1c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.3	Agency identified and documented its continuity personnel. [FCD 1 Annex J, Page J-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.4	Agency officially informed all continuity personnel of their roles or designations by providing documentation to ensure that continuity personnel know and accept their roles and responsibilities. [FCD 1 Annex J, Page J-2, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.5	Agency established procedures for contacting and accounting for employees in the event of an emergency. [FCD 1 Annex J, Page J-3, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Human Capital (Continued)

<p>J.6</p>	<p>Agency identified a human capital liaison from the agency’s human resources staff to work with the Continuity Coordinator or Continuity Manager when developing or updating the agency’s emergency plans. [FCD 1 Annex J, Page J-3, Bullet #5] Comments:</p>	<p>Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>J.7</p>	<p>Agency continuity programs, plans, or procedures included or referenced agency-specific guidance and direction for continuity personnel on human-capital issues. [FCD 1 Annex J, Page J-3, Bullet #5] Comments:</p>	<p>Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

Activity 2: Communicate and train agency personnel on applicable human capital procedures and considerations related to continuity.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
<p>J.8</p>	<p>Agency developed procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure situation. [FCD 1 Annex J, Page J-2, Bullet #3, Last Sentence] Comments:</p>	<p>Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>J.9</p>	<p>Agency continuity personnel participate in their agency’s continuity test, training, and exercise (TT&E) program, as reflected in agency training records. [FCD 1 Annex J, Page J-2, Paragraph 3] Comments:</p>	<p>Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>J.10</p>	<p>Agency provided guidance to continuity personnel on individual preparedness measures that they should take to ensure response to a continuity event. [FCD 1 Annex J, Page J-2, Bullet #2] Comments:</p>	<p>Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>J.11</p>	<p>Agency made staff aware of and familiar with their human capital guidance, such as utilizing an intranet website or employee orientation briefing, in an effort to help agencies continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:</p>	<p>Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

Continuity Evaluation Tool: Human Capital (Continued)

Activity 3: Develop and integrate human capital strategies for all agency personnel during a continuity activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk (*) after a task number denotes critical task item.

	Tasks/Observation Keys	Task Status
J.12	Agency developed a process to communicate instructions with continuity personnel before, during, and after a continuity event. [FCD 1 Annex J, Page J-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.13	Agency developed a process to communicate the agency's operating status with all staff. [FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.14	Agency integrated human capital procedures for its facility, geographic region, and Office of Personnel Management (OPM) into its continuity plan, as appropriate. [FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.15	Agency developed a process to communicate their human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities) to managers in an effort to help agencies continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Human Capital (Continued)

Tasks	J.1*	J.2*	J.3	J.4	J.5	J.6	J.7	J.8	J.9	J.10	J.11	J.12	J.13	J.14	J.15	Total
Yes																
No																
N/A																

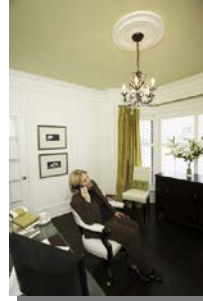
An Asterisk (*) after a task number denotes critical task item.

Alternate Work Locations—Telework

Telework allows employees to conduct some or all of their work at an alternative worksite away from the employer's usual office.

Telework is a way to:

- Increase workforce flexibility.
- Involve more agency personnel in continuity operations.



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Alternate Work Locations—Telework

Telework locations can include:

- An employee's residence.
- A telework center.
- A traditional office or satellite office close to the employee's residence.
- An office located in another State or county.

Telework schedules vary and are subject to management approval.



4-22

Test, Training, and Exercise (TT&E)

A TT&E program:

- Verifies that essential functions can continue as planned.
- Provides the framework for promoting consistency and uniformity in job performance.
- Ensures that TT&E events support the common overall goal of mission readiness.



4-23

Test, Training, and Exercise (TT&E)

TT&E should be a comprehensive blend of test, training, and exercise events that:

- Confirm that the plan works as intended, or points to areas requiring improvement.
- Reflects lessons learned from previous TT&E events or activations.
- Improves overall mission readiness.
- Provides opportunities to acquire and apply the skills and knowledge needed for continuity operations.
- Builds team unity.



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TT&E—Tests

All systems must be tested as part of continuity planning. Tests are:

- Systems oriented.
- Interactive.
- Realtime.



TT&E—Training

Types of training:

- Lecture/discussion
- Hands on:
 - On-the-job
 - Job shadowing
 - Mentoring
 - Simulations



4-26

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TT&E—Exercises

- Seminars
- Workshops
- Tabletops
- Games
- Drills
- Functional exercises
- Full-scale exercises



4-27

Refer to the Test, Training, and Exercise Fact Sheet on page 4-48.

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Test, Training, and Exercise Fact Sheet

Test	<p>A test is an evaluation of a capability against an established and measurable standard. From a continuity perspective, tests are an excellent way to evaluate functions, such as:</p> <ul style="list-style-type: none"> ▪ Communications connectivities. ▪ Alert and notification procedures. ▪ Deployment procedures.
Training	<p>Training activities provide information or refine skills. Training provides the tools needed to accomplish a goal, meet program requirements, or acquire a specified capability. Typically, a significant part of the TT&E program will be training.</p>
Exercise	<p>An exercise is an event that allows:</p> <ul style="list-style-type: none"> ▪ Participants to apply their skills and knowledge to improve operational readiness. ▪ Planners to evaluate the effectiveness of previously conducted tests and training activities. <p>The primary purpose of an exercise is to identify areas that require additional training, planning, or other resources to improve an organization's continuity capability.</p> <p>Several types of exercises can be used in a continuity TT&E program. The various types of exercises, listed in the order of stress, complexity, and fidelity (lowest to highest), are:</p> <ul style="list-style-type: none"> ▪ <u>Seminars</u>. Provide an overview of new or current plans, resources, strategies, concepts, or ideas. ▪ <u>Workshops</u>. Achieve specific goals or build products. ▪ <u>Tabletop exercises</u>. Validate plans and procedures by utilizing a hypothetical scenario to drive participant discussions. ▪ <u>Games</u>. Explore decisionmaking processes and examine the consequences of those decisions. ▪ <u>Drills</u>. Validate a single agency operation or function. ▪ <u>Functional exercises</u>. Evaluate capabilities, functions, plans, and staffs. ▪ <u>Full-scale exercises</u>. Validate plans, policies, procedures, and cooperative agreements developed in previous exercises, through their actual implementation and execution, during a simulated scenario; include actual mobilization of resources, conduct of operations, and integrated elements of a functional exercise plan. <p>A combination of exercises of increasing complexity should be developed to evaluate the continuity plan completely.</p>

TT&E—Exercises

Exercises are “proof of performance.” Exercises involve several key components:

- An exercise plan
- A control plan
- An evaluation plan
- A Player Handbook
- A Corrective Action Program



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Exercises are supported by several critical components during exercise development, conduct, and evaluation. These tools include:

- An exercise plan, which provides an overview of the exercise concept. All exercises require an exercise plan.
- A control plan, which is required for all functional and full-scale exercises, and is recommended for tabletop exercises. Also called the Control Staff Instructions (COSIN), the control plan outlines the responsibilities of the exercise management team.
- An evaluation plan, developed for all functional and full-scale exercises. The evaluation plan describes how to evaluate the exercise.
- The Player Handbook, which provides exercise players with information that they need to participate effectively in the exercise.
- A Corrective Action Program (CAP), developed by the evaluation team, based on the information collected during and after the exercise. The CAP includes an after-action report (AAR) and a Corrective Action Plan. The Corrective Action Plan describes the steps intended to correct deficiencies identified during the exercise.

Refer to the TT&E section of the Continuity Evaluation Tool on the following page.

Continuity Evaluation Tool: TT&E

CONTINUITY EVALUATION TOOL: VERSION 6; TEST, TRAINING, AND EXERCISE PROGRAM

Test, Training, and Exercise Program

Element Color Determination: _____*Exercise Evaluation Guide*

Capability Description: An effective Test, Training, and Exercise (TT&E) program is necessary to assist agencies to prepare and validate their organization's continuity capabilities and program and support the Federal Executive branch's ability to perform PMEFs and MEFs during any emergency. The test, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving an agency's ability to execute its continuity program, plans, and procedures. Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of an agency's essential functions during a continuity event. Tests and exercises serve to assess, validate, or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Continuity Evaluation Tool: TT&E (Continued)

Activity 1: Create, execute, and document an effective agency-wide continuity testing program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.1*	Agency developed and maintained a continuity Test, Training, & Exercise (TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continuation of the performance of MEFs and PMEFS. [FCD 1 Annex K, Page K-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.2*	Agency conducted quarterly testing of alert, notification, and activation procedures for all continuity personnel. [FCD 1 Annex K, Page K-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.3*	Agency conducted annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities. [FCD 1 Annex K, Page K-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.4*	Agency tested and validated equipment to ensure the internal and external interoperability and viability of communications systems, through monthly testing of the continuity communications capabilities outlined in FCD 1, Annex H (e.g., secure and nonsecure voice and data communications). [FCD 1 Annex K, Page K-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.5*	Agency annually tested the capabilities required to perform the agency's Mission Essential Functions (MEFs), as identified in the business process analysis (BPA). [FCD 1 Annex K, Page K-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: TT&E (Continued)

K.6	Agency conducted annual testing of plans for recovering vital records (both classified and unclassified), critical information systems, services, and data. [FCD 1 Annex K, Page K-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.7	Agency conducted annual testing and exercising of required physical security capabilities at its alternate facilities. [FCD 1 Annex K, Page K-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.8	Agency formally documented and reported all tests conducted and their results, as applicable. [FCD 1 Annex K, Page K-1, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.9	Agency reported all test results as directed by the Department of Homeland Security (DHS) and the Federal Emergency Management Agency (FEMA). [FCD 1 Annex K, Page K-1, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
K.10	Agency conducted annual testing of internal and external interdependencies identified in the agency's continuity plan, with respect to performance of an agency's and other agencies' MEFs. [FCD 1 Annex K, Page K-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: TT&E (Continued)

Activity 2: Create, execute, and document an effective agency-wide continuity training program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.11*	Agency conducted annual training on the roles and responsibilities for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations. [FCD 1 Annex J, Page J-1, Bullet #1; FCD 1 Annex K, Page K-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.12	Agency conducted annual continuity awareness briefings (or other means of orientation) for the entire workforce. [FCD 1 Annex K, Page K-2, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.13	Agency conducted annual training for the agency's leadership on that agency's Primary Missions Essential Functions (PMEFs) and Mission Essential Functions (MEFs), including training on their continuity responsibilities. [FCD 1 Annex K, Page K-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.14	Agency conducted personnel briefings on agency continuity plans that involve using or relocating to alternate facilities, existing facilities, or virtual offices. [FCD 1 Annex K, Page K-2, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.15	Agency conducted annual training for all reconstitution plans and procedures to resume normal agency operations from the original or replacement primary operating facility. [FCD 1 Annex K, Page K-2, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.16	Agency documented all training sessions within an annual report, to include the type of training conducted, the date of each training session, those completing the training, and by whom the training was given; and submitted this annual report on its training program to FEMA. [FCD 1 Annex K, Page K-2, Training Section, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>

Continuity Evaluation Tool: TT&E (Continued)

Activity 3: Create, execute, and document an effective agency-wide exercise program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.17	Agency exercise program complies with the DHS-mandated National Exercise Program (NEP), as appropriate. [FCD 1 Annex K, Page K-2, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.18	Agency TT&E program provided an annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures and to demonstrate the agency's capability to continue its essential functions. [FCD 1 Annex K, Page K-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.19	Agency conducted an annual exercise that incorporated the deliberate and preplanned movement of continuity personnel to an alternate facility or location. [FCD 1 Annex K, Page K-3, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.20	Agency TT&E program provided an opportunity to demonstrate its intra- and interagency continuity communications capabilities. [FCD 1 Annex K, Page K-3, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.21	Agency TT&E program provided an opportunity to demonstrate that backup data and records required for supporting essential functions at alternate facilities or locations are sufficient, complete, and current. [FCD 1 Annex K, Page K-3 Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.22	Agency TT&E program provided an opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities, when appropriate. [FCD 1 Annex K, Page K-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: TT&E (Continued)

K.23	Agency TT&E program provided an opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures. [FCD 1 Annex K, Page K-3, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.24	Agency conducted a comprehensive debriefing or hotwash after each exercise, which allowed participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the agency's continuity plan. [FCD 1 Annex K, Page K-3, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.25	Agency provided organizational assistance to FEMA in conducting annual full-scale continuity exercises and biannual assessments of the agency's continuity program to support reports submitted to the National Continuity Coordinator (NCC) and the President. [FCD 1 Annex K, Page K-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 4: Maintain an agency Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.26	Agency developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. [FCD 1 Annex K, Page K-3, Bullet #12] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.27	Agency incorporated evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. [FCD 1 Annex K, Page K-3, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: TT&E (Continued)

K.28	Agency continuity personnel conducted annual assessments of their continuity TT&E programs and continuity plans and programs. [FCD 1 Annex K, Page K-3, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.29	Agency continuity personnel reported the findings of all annual assessments, as directed, to FEMA. [FCD 1 Annex K, Page K-3, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.30	Agency CAP identified continuity deficiencies and other areas requiring improvement. [FCD 1 Annex K, Page K-3, Bullet #12a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.31	Agency CAP provided responsibilities and a timeline for corrective action. [FCD 1 Annex K, Page K-3, Bullet #12a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.32	Agency CAP identified program and other continuity funding requirements for submission to department and agency leadership and Office of Management and Budget (OMB). [FCD 1 Annex K, Page K-3, Bullet #12b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.33	Agency CAP identified and incorporated efficient acquisition processes, and where appropriate, collected all interagency requirements into one action. [FCD 1 Annex K, Page K-3, Bullet #12c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.34	Agency CAP identified continuity personnel requirements for department and agency leadership and their supporting Human Resource Offices and the Office of Personnel Management (OPM), where appropriate. [FCD 1 Annex K, Page K-3, Bullet #12d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: TT&E (Continued)

Tasks	K.1*	K.2*	K.3*	K.4*	K.5*	K.6	K.7	K.8	K.9	K.10	K.11*	K.12	K.13	K.14	K.15	K.16	K.17	Total
Yes																		
No																		
N/A									X							X		


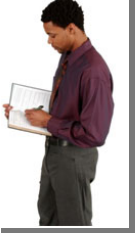
Tasks	K.18	K.19	K.20	K.21	K.22	K.23	K.24	K.25	K.26	K.27	K.28	K.29	K.30	K.31	K.32	K.33	K.34	Total
Yes																		
No																		
N/A																		

An Asterisk (*) after a task number denotes critical task item.

TT&E Checklist

A TT&E Checklist helps to:

- Manage the exercise development, conduct, and evaluation process.
- Ensure that exercises are developed logically and that no important details are overlooked.



4-29

Because exercise development, conduct, and evaluation can become quite complex, a TT&E checklist should always be prepared.

The TT&E checklist helps to ensure that exercises are developed logically and that no important details are overlooked during development.

Refer to the sample Continuity TT&E Event Checklist on the following page.

Continuity TT&E Event Checklist

Event Title: _____
 Event Date: _____

Primary Event POC: _____
 Alternate Event POC: _____

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter √ with date completed) or Not Applicable (N/A)
Event Development and Planning				
1.	Determine purpose, objectives, and concept (format).			
2.	Determine event location(s) and reserve space, as appropriate.			
3.	Develop detailed schedule/timeline with milestones.			
4.	Obtain management approval on concept and schedule.			
5.	Announce/distribute approved date(s) and location(s) to all personnel involved in effort.			
6.	Draft invitation/event announcement for participants and individuals involved in conduct of event. <ul style="list-style-type: none"> ▪ Include suspense date for attendees' names and required information (e.g., clearance status, Social Security numbers, and requirements for transportation to the event site). ▪ Provide directions/map to training location, if applicable. ▪ Provide information on lodging/billeting and meals, if applicable. ▪ Provide any special security requirements or instructions, including name and fax number of security representative to whom clearance information should be submitted, if necessary. 			

Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter √ with date completed) or Not Applicable (N/A)
7.	Obtain management approval of invitation/event announcement and finalize announcement at least 1 month before the event.			
8.	Distribute invitation/event announcement at least 3 weeks before the event.			
9.	Develop documentation/materials required to support the event in accordance with approved schedule: <ul style="list-style-type: none"> ▪ Concept & Objectives Paper ▪ Event Plan ▪ Evaluation Plan ▪ Agenda ▪ Slides ▪ participant observation form/critique form ▪ Handouts/Participant Packets ▪ Facilitator Books <i>Add other documents/materials, as required, based on the nature of the event.</i>			

Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter √ with date completed) or Not Applicable (N/A)
10.	Coordinate with guest speakers and presenters, if applicable. <ul style="list-style-type: none"> ▪ Provide copy of approved agenda. ▪ Advise them of their allocated briefing/presentation timeframe. ▪ Request copies of their materials for inclusion in briefing slides and participant packet, and indicate suspense date for these. ▪ Request list of their equipment/supply requirements, and indicate suspense date for these. ▪ Provide lodging/billeting information, if applicable. ▪ Provide directions/map to training location, if applicable. ▪ Obtain speaker biography for introduction at the event. 			
11.	Confirm space and dates with training location POC.			

Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter ✓ with date completed) or Not Applicable (N/A)
Administration				
12.	Create attendee list/roster. <ul style="list-style-type: none"> ▪ Update list, as necessary. ▪ Forward all updates to other applicable POCs for administration, event site, transportation, security, and IT/communications, as applicable. 			
13.	Create list of individuals requiring lodging/billeting.			
14.	Complete and submit travel authorizations, if applicable.			
15.	Make travel arrangements, as necessary.			
16.	Distribute read-ahead materials to rostered attendees according to approved concept and/or schedule. Include any site-specific information, as necessary.			
17.	Prepare/obtain nametags and name tents, if applicable, for rostered attendees. (Prepare extra nametags and tents to have on hand.)			
18.	Identify and notify individual(s) to staff the administration desk/sign-in table at the beginning of each day of the event. <ul style="list-style-type: none"> ▪ Provide individual(s) with phone numbers of training site POCs (e.g., lodging/billeting, security, transportation, and IT/communications). 			

Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter <input checked="" type="checkbox"/> with date completed) or Not Applicable (N/A)
19.	Prepare and preposition sign-in sheet/attendance roster for each day of the event. <ul style="list-style-type: none"> ▪ Provide a copy of the completed sign-in sheet to the individual(s) preparing the after-action report. ▪ Provide copy of the completed sign-in sheet to the building POC, if applicable. 			
20.	Identify individuals to serve as recorders during the event.			
21.	Determine requirements for escorts/guides, and designate personnel, as applicable.			
22.	Prepare appropriate number of copies of event materials and distribute these at the event.			
23.	Distribute participant packets/handouts on first day of the event.			
24.	Collect participant observation forms/critique forms at the end of the event. <ul style="list-style-type: none"> ▪ Provide box or container for collection purposes. ▪ Provide copy of the completed forms to the individual(s) preparing the after-action report. 			
25.	Collect notes/comments from recorders at the end of the event. Forward these to the individual(s) preparing the after-action report.			

Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter <input checked="" type="checkbox"/> with date completed) or Not Applicable (N/A)
Site Logistics				
26.	Coordinate with building POC at event site/visit site before event. <ul style="list-style-type: none"> ▪ Determine existing equipment and resources. ▪ Identify any additional equipment and resources that will be required. Provide list of requirements and supplies to building POC. ▪ Determine best room layout/arrangement based on agenda and number of attendees. ▪ Determine if location is accessible to participants with disabilities, if applicable. 			
27.	Coordinate with cafeteria/food service POC at the training site, if applicable.			
28.	Coordinate with billeting/lodging POC at event site. <ul style="list-style-type: none"> ▪ Forward copy of updated attendee lists as received. ▪ Obtain information (e.g., cost and location) on alternative lodging options, if necessary. 			

Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter √ with date completed) or Not Applicable (N/A)
Transportation				
29.	Determine if transportation to training site is required. If yes: <ul style="list-style-type: none"> ▪ Determine number of personnel to be transported. ▪ Identify any special access transportation needs. ▪ Forward requirements to site transportation POC. ▪ Devise transportation schedule (i.e., marshalling point, departure time from marshalling point, return schedule) in coordination with site transportation POC. 			
30.	Determine if onsite transportation is required. If yes: <ul style="list-style-type: none"> ▪ Determine when transportation will be required and number of personnel to be transported. ▪ Identify any special access transportation needs. ▪ Forward requirements to site transportation POC. 			

Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter ✓ with date completed) or Not Applicable (N/A)
Information Technology/Communications				
31.	Coordinate with IT/communications POC at event site. <ul style="list-style-type: none"> ▪ Provide list of IT/communications requirements based on event agenda and attendee list. ▪ Request IT/communications specialist(s) to be available throughout the day to provide assistance, as needed. 			
32.	Designate individual with responsibility for ensuring that IT and communications equipment is set up and operational on day of the event. <ul style="list-style-type: none"> ▪ Advise individual of time to arrive on site. ▪ Provide individual with phone number of IT/communications POC at event site. 			
Security				
33.	Coordinate with site security POC. <ul style="list-style-type: none"> ▪ Advise of classification level and location (e.g., building and room) of event. ▪ Provide any attendee information needed by security staff. ▪ Determine special security concerns associated with event (e.g., special passes or badges, classified computer, classified material, etc.). 			

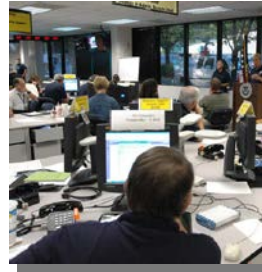
Continuity TT&E Event Checklist (Continued)

No.	Activity/Task	Lead POC(s)	Status/Remarks	Completed (enter <input checked="" type="checkbox"/> with date completed) or Not Applicable (N/A)
34.	Identify individual who will courier classified event materials to the site, if necessary.			
35.	<p>Ensure appropriate measures are in place during event to protect classified and "For Official Use Only" (FOUO) information.</p> <p>Develop procedures for dissemination and collection of materials, and distribute to staff members who will participate in conduct of event.</p> <ul style="list-style-type: none"> ▪ Coordinate storage for classified materials, for overnight or temporary storage. ▪ Perform security check of room(s) at conclusion of each day of event. 			

Devolution of Control and Operations

Devolution:

- Is the capability of transferring authority and responsibility from an agency's primary operating staff and facilities to other employees and facilities.
- Addresses disasters that render an agency's leadership and staff unavailable or incapable of performing essential functions from either its primary or continuity facilities.



4-30

The next element that you should consider as part of your continuity program is devolution.

Devolution is the capability to transfer statutory authority and responsibility for PMEFs and MEFs from an agency's primary operating staff and facilities to other employees and facilities.

Devolution planning supports overall continuity planning and addresses catastrophic or other disasters that render an agency's leadership and staff unavailable or incapable of performing essential functions from either its primary or continuity facilities.

Some agencies may also use devolution as:

- An overall strategy for performing essential functions from regional or other offices.
- A short-term strategy to ensure that essential functions that cannot be interrupted, even briefly, continue until the alternate facility is operational.

Devolution Planning

The devolution plan:

- Addresses how the agency will identify and transfer its essential functions in the aftermath of a catastrophic disaster.
- Provides procedures, guidance, and an organizational structure for the receiving organization to ensure that essential functions are continued.



FEMA

4-31

Developing a Devolution Plan

Developing a devolution plan involves:

- **Prioritizing essential functions that must devolve.**
- **Creating a roster of personnel equipped to perform their assigned essential functions from the devolution site.**
- **Identifying activation protocols for the devolution plan.**



4-32

A devolution plan should include all of the elements of a viable continuity capability. When developing a devolution plan, it is essential to:

- Prioritize essential functions that must devolve. It is possible that some functions designated as essential in a continuity situation will not be essential functions in a devolution scenario. The priority for essential functions may change based on requirements and circumstances.
- Create a roster of trained personnel at the devolution site, and ensure that those personnel are equipped to perform their assigned essential functions.
- Identify activation protocols for the devolution plan. Any event—whether natural, technological, or human caused—that renders personnel or a continuity facility unable to support continuity operations can result in an activation of the devolution plan. All personnel must be aware of the activation protocols for devolution.

Developing a Devolution Plan

The devolution plan must include:

- A description of how and when control of agency operations will be transferred.
- A list of the resources required to continue essential functions and sustain operations.
- Reliable processes and procedures for acquiring necessary resources.
- Capabilities for restoring—or reconstituting—agency authorities to their pre-event status.



4-33

Devolution planning must include:

- A description of how and when direction and control of agency operations will be transferred. Any event that might be accompanied or followed by secondary events, such as aftershocks or cascading information system failures, could result in activation of the devolution plan. The devolution plan should state clearly how the transfer will occur.
- A list of the resources necessary for devolution. The devolution plan must include resources—people, equipment, and materials—required to continue Mission Essential Functions and sustain operations.
- Reliable processes and procedures for acquiring necessary resources.
- Capabilities for restoring—or reconstituting—agency authorities to their pre-event status.

Refer to the Devolution Section of the Continuity Evaluation Tool on the following page.

Continuity Evaluation Tool: Devolution of Control and Direction

CONTINUITY EVALUATION TOOL: VERSION 6; DEVOLUTION OF CONTROL AND DIRECTION

Devolution of Control and Direction

Element Color Determination: _____*Exercise Evaluation Guide*

Capability Description: Devolution planning supports overall continuity planning and addresses catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable or incapable of performing its essential functions from either the agency's primary or alternate facilities. Devolution planning also addresses notice and no-notice events. A continuity plan's devolution option should be developed so that it addresses how an agency will identify and transfer its essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment in which essential functions can continue to be performed. The devolution option may be used when the agency's alternate facility is not available or the option can be activated as a continuity measure.

Jurisdiction or Organization:

Name of Exercise:

Location:

Date and Period of Time Evaluated:

Evaluator:

Evaluator Contact Info:

Continuity Evaluation Tool: Devolution of Control and Direction (Continued)

Activity 1: Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazard emergencies render an agency's leadership and key staff unavailable or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L. 1*	Agency devolution plan included the elements of a viable continuity capability: Program plans and procedures; budgeting and acquisitions; essential functions; orders of succession and delegations of authority specific to the devolution site; interoperable communications; vital records management; staff; test, training, and exercise (TT&E); and reconstitution. [FCD 1 Annex L, Page L-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L. 2*	Agency devolution plan identified prioritized essential functions and defined the tasks that support those essential functions. [FCD 1 Annex L, Page L-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.3*	Agency devolution plan maintained a roster identifying fully equipped and trained personnel who will be stationed at the designated devolution site and who have the authority to perform essential functions and activities when the devolution option of the continuity plan is activated. [FCD 1 Annex L, Page L-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.4*	Agency devolution plan identified what would likely activate or "trigger" the devolution option and specified how and when direction and control of agency operations will be transferred to and from the devolution site. [FCD 1 Annex L, Page L-1, Bullet #4; FCD 1 Annex L, Page L-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.5	Agency established and maintained a capability to restore or reconstitute agency authorities to their pre-event status upon termination of devolution. [FCD 1 Annex L, Page L-1, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Devolution of Control and Direction (Continued)

Activity 2: Develop a devolution plan or procedures that address the resource and training considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazard emergencies render an agency's leadership and key staff unavailable or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

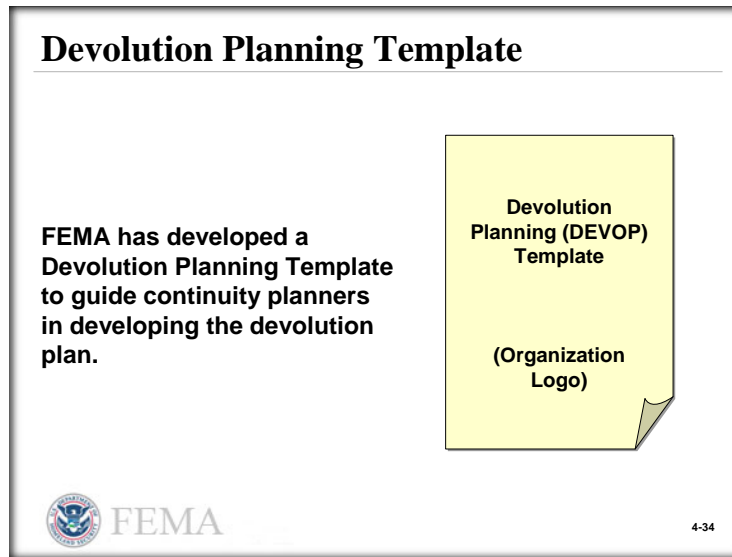
Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L.6	Agency determined the necessary resources to facilitate the immediate and seamless transfer of essential functions to the devolution site. [FCD 1 Annex L, Page L-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.7	Agency listed or referenced the necessary resources (i.e., equipment and materials) to facilitate the performance of essential functions at the devolution site within the devolution section of its continuity plan. [FCD 1 Annex L, Page L-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.8	Agency established and maintained reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. [FCD 1 Annex L, Page L-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.9	Agency conducted annual training on an agency's devolution option for continuity, addressing how the agency will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency, and documented the devolution preparedness activities in writing, to include the dates of all TT&E events and names of staff participating in those events. [FCD 1 Annex K, Page K-2, Bullet #9; FCD 1 Annex L, Page L-1, 2 nd to Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.10	Agency corrective action program (CAP) supported the agency's devolution program. [FCD 1 Annex L, Page L-1, Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Devolution of Control and Direction (Continued)

Tasks	L.1*	L.2*	L.3*	L.4*	L.5	L.6	L.7	L.8	L.9	L.10	Total
Yes											
No											
N/A											

An Asterisk (*) after a task number denotes critical task item.



FEMA has developed a Devolution Planning Template to guide continuity planners in developing the devolution plan.

The Continuity Program Manager should be familiar with the Template.

Refer to Appendix D to review the Devolution Planning Template.

Reconstitution

Reconstitution is the process by which agency personnel resume normal agency operations at the primary operating facility.

Agencies must outline a plan to return to normal operations after agency leaders determine that reconstitution operations can begin.



4-35

Reconstitution

Reconstitution operations should be overseen by a Reconstitution Manager.

The Reconstitution Manager should not be the Continuity Program Manager or Coordinator, who have other duties to perform during a continuity event.



4-36

Reconstitution Planning

Reconstitution involves three main tasks:

- Transitioning from continuity status to normal operations after the disruption has passed.
- Coordinating and planning for reconstitution regardless of the level of disruption.
- Outlining the procedures for a smooth transition from a relocation site to a restored facility.



4-37

Implementing the Reconstitution Plan

Reconstitution is a five-step process:

- Notify all personnel that the threat or actual emergency no longer exists.
- Provide instructions for the resumption of normal operations.
- Supervise the orderly return to the normal operating facility.
- Report agency status, as appropriate.
- Conduct an after-action review of continuity operations.



4-38

Refer to the Reconstitution section of the Continuity Evaluation Tool on the following page.

Continuity Evaluation Tool: Reconstitution Operations

CONTINUITY EVALUATION TOOL: VERSION 6; RECONSTITUTION OPERATIONS

Reconstitution Operations

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Agencies must identify and outline a plan to return to normal operations once agency heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Continuity Evaluation Tool: Reconstitution Operations (Continued)

Activity 1: Identify and outline a reconstitution plan and procedures so that the agency is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once agency heads or their successors determine that it is okay to return from all alternate facilities.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.1*	Agency provided an executable plan for recovering from the effects of an emergency and transitioning back to efficient normal operational status from continuity operations status once a threat or disruption had passed. [FCD 1 Annex A, Page A-3, Bullet #7; FCD 1 Annex M, Page M-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.2	Agency plans or procedures include redeployment plans for phasing down alternate facility operations and returning operations, personnel, records, and equipment to the primary or other operating facility, when appropriate. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.3	Agency coordinated and preplanned options for agency reconstitution regardless of the level of disruption that originally prompted the agency to implement its continuity plan. [FCD 1 Annex M, Page M-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.4	Agency reconstitution plan included moving operations from the continuity or devolution locations to either the original operating facility or new operating facility. [FCD 1 Annex M, Page M-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.5	Agency outlined or referred to the necessary procedures, whether under a standard continuity scenario or a devolution scenario, for conducting a smooth transition from the relocation sites to a new facility. [FCD 1 Annex M, Page M-1, 1 st Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Reconstitution Operations (Continued)

M.6	Agency developed a plan or procedures to inform all personnel that the actual emergency or threat of an emergency no longer existed. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.7	Agency developed a plan or procedures to instruct personnel on how to resume normal operations. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.8	Agency developed a plan or procedures to supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.9	Agency developed a plan or procedures to verify that all systems, communications, and other required capabilities were available and operational and that the agency was fully capable of accomplishing all essential functions and operations at the new or restored facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.10	Agency developed a plan or procedures to report the status of the relocation to the new or restored facility to the FEMA Operations Center (FOC) by contacting 540.665.6100 or at 800.634.7084. [FCD 1 Annex M, Page M-1, Implementation, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.11	Agency developed a plan or procedures to identify any records affected by the incident. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.12	Agency developed a plan or procedures to work with its records office (or similar function in the agency) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Evaluation Tool: Reconstitution Operations (Continued)

Activity 2: Develop plans and procedures to identify areas for improvement, and remedy these items during agency reconstitution activities to improve the agency’s capability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.13	Agency developed a plan or procedures to conduct an after-action review of the effectiveness of the continuity plans and procedures. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.14	Agency developed a plan or procedures to identify areas for improvement from the after-action review. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.15	Agency developed a plan or procedures to document findings in the agency's corrective action plan (CAP). [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.16	Agency developed a remedial action plan as soon as possible after the reconstitution. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Tasks	M.1*	M.2	M.3	M.4	M.5	M.6	M.7	M.8	M.9	M.10	M.11	M.12	M.13	M.14	M.15	M.16	Total
Yes																	
No																	
N/A																	

An Asterisk () after a task number denotes critical task item.*

Summary and Transition

This unit:

- Covered several of the essential elements of a continuity plan.

Unit 5:

- Will cover how to develop continuity plans and procedures



4-39

This unit covered several of the essential elements of a continuity plan.

Unit 5 will cover how to develop continuity plans and procedures.

Summary and Transition

Questions?



4-40

Unit 5: Developing Continuity Plans & Procedures

Objectives

At the end of this unit, you should be able to:

1. Explain the purpose of a Continuity Plan.
 2. Propose an outline for a Continuity Plan.
 3. Identify procedures that can support a continuity program effectively.
-

Scope

- Unit Overview and Objectives
 - Continuity Planning
 - Continuity Program Management
 - Tests, Training, and Exercises (TT&E)
 - Evaluations, After-Action Reports, and Lessons Learned
 - Corrective Action Plans
 - Continuity Plan Organization
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Continuity Planning	15 minutes
Continuity Program Management	45 minutes
Tests, Training, and Exercises (TT&E)	15 minutes
Evaluations, After-Action Reports, and Lessons Learned	15 minutes
Corrective Action Plans	10 minutes
Continuity Plan Organization	40 minutes
Summary and Transition	5 minutes
Total Time	2 hours 30 minutes

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Unit 5: Developing Continuity Plans and Procedures



Developing thorough and effective continuity plans and procedures enables organizations to implement their plans successfully in a continuity situation. Unit 5 will address the development of continuity plans and procedures. The topics covered in this unit are:

- The Continuity Program Management Cycle.
- Continuity Plan organization.

Unit Objectives

- Explain the purpose of a Continuity Plan.
- Propose an outline for a Continuity Plan.
- Identify procedures that can support a continuity program effectively.



5-2

Continuity Planning

The Continuity Plan is:

- A roadmap for implementing and managing the continuity program.
- A living document requiring regular review and revision as the continuity program evolves.
- The most important of all the documents that support the continuity program.

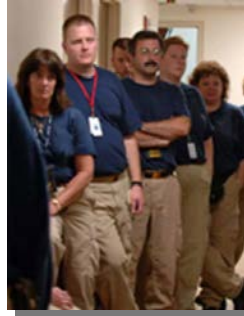


5-3

Continuity Plan Objectives

To ensure:

- Continued operation of the organization's essential functions during continuity operations.
- A rapid response to any emergency situation requiring Continuity Plan implementation.



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5-4

Continuity Plan Scope

The Continuity Plan documents:

- What to expect in a continuity situation.
- How and how quickly continuity actions will occur.
- Who will participate in continuity operations.
- Where continuity operations will occur.



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5-5



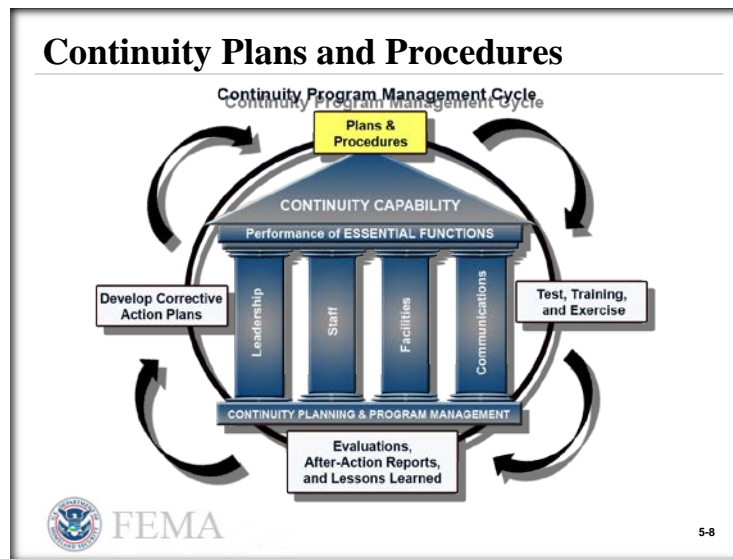
Continuity capability is determined by the continuation of essential functions. The performance of essential functions rests upon these four pillars.

1. Leadership is critical to provide support to continuity planning and ensure continuity of essential functions.
2. Staff must be sufficiently trained and cross-trained to perform their duties in a continuity environment.
3. Facilities must be adequate, separate locations to ensure the execution of essential functions.
4. Communications systems and technology must be interoperable, robust, and reliable.

Continuity Program Management Cycle

- Planning
- Training
- Evaluating
- Developing a Corrective Action Plan





The steps involved in developing Continuity Plans and procedures include:

- Appointing the Continuity Program Manager.
- Selecting the planning team.
- Determining essential functions.
- Applying risk management principles to assess potential hazards.
- Identifying resources required for continuity planning.
- Establishing objectives and milestones.
- Determining procedures for information gathering and decisionmaking.

The Continuity Program Manager

The Continuity Program Manager:

- Has responsibility for managing day-to-day continuity planning.
- Keeps the agency head informed throughout the continuity planning process.



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5-9

Selecting the Planning Team

Should:

- Consist of knowledgeable personnel from each functional area in the organization.
- Focus on those responsible for essential functions and:
 - Information Technology.
 - Human Resources.
 - Accounting/Finance.
 - The Office of General Counsel or equivalent.



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5-10

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Activity: Selecting the Planning Team

Purpose: The purpose of this activity is to give you an opportunity to identify key personnel for the continuity planning team.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
 2. Consider functions that you know are essential for your agency.
 3. Based on those functions, identify key personnel (by position) who should be on the continuity planning team.
 4. You will have 15 minutes to complete this activity.
 5. Be prepared to present and discuss your personnel choices for the continuity planning team.
-

Essential Functions

- Some essential functions will be identified by the agency head.
- Others are identified as essential because they:
 - Are directed by the President/Governor, etc.
 - Are critical to the performance of identified essential functions.
 - Support other agencies' performance of essential functions.



5-12

In a continuity situation, everything will hinge on the agency's ability to perform its essential functions. The continuity planning team should use a system to ensure that all essential functions are identified.

Some essential functions are identified by the agency head. Others are determined to be essential because they:

- Are directed by the President.
- Are critical to the performance of identified essential functions.
- Support other agencies' performance of essential functions.

Risk Management

A risk analysis is the process for identifying and prioritizing hazards in a jurisdiction. Hazards can then be ranked according to the overall risk that each poses.



5-13

Risk Management

Why should you complete a risk analysis?



5-14

Risk Analysis

A risk analysis:

- Is the process for identifying and prioritizing the hazards that pose a threat to the jurisdiction.
- Allows the agency to identify and prioritize the risks posed.
- Provides planning direction toward higher priorities first.

Risk = Vulnerability!



5-15

Sources of Information for the Risk Analysis

Begin the risk analysis by:

- **Contacting the local Emergency Management Agency.**
- **Checking historical information.**
- **Contacting local law enforcement or the FBI Field Office.**
- **Reviewing directives.**



5-16


Many resources are available to help when identifying potential hazards. Begin the risk analysis by:

- **Contacting the local Emergency Management Agency.** Using the local hazard analysis is a good starting point for identifying hazards that are specific to the local area.
- **Checking historical information.** The National Weather Service and local newspapers can identify the impact of natural hazards that have occurred in the area.
- **Contacting local law enforcement or the FBI Field Office.** Law enforcement agencies can provide information regarding human-caused threats.
- **Reviewing directives.** All agencies are required to prepare for some types of emergencies (e.g., terrorist attack) by Presidential or other directive.

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Vulnerability Analysis

Do you know how vulnerable your agency is to natural, technological, and human-caused hazards?



5-17

Do you know how vulnerable your agency is to natural, technological, and human-caused hazards?

Conducting a Vulnerability Analysis

Identify and prioritize hazards through a vulnerability analysis to identify hazards that are:

- Inherent to the agency's location.
- Inherent to the facility.
- Most critical for agency personnel.



5-18

After the process of identifying and prioritizing hazards is completed, a vulnerability analysis, which will identify how vulnerable your agency is to the hazards identified, should be conducted. For example, some hazards are:

- Inherent to the agency's location. Is the agency near a rail line that carries hazardous materials? Is it downwind from a chemical plant? Is it—or is it close to—a known terrorist target?
- Inherent to the facility. Is the facility itself of such significance that it could be a terrorist target? Does the facility have an underground parking garage or subway running underneath it?
- Most critical for agency personnel. What types of hazards have the highest potential impact? What hazards frequently occur without warning?

Refer to the Vulnerability Analysis Process on the following page.

Vulnerability Analysis Process

The vulnerability analysis process involves four steps:

1. Develop a hazard profile. Include frequency, magnitude and intensity, location, probable spatial extent, speed of onset, and availability of warning.
2. Check assumptions. Consider the nature of the hazard, the facility's construction, and the surrounding area.
3. Develop an area profile. Identify locations of known hazards, major structures, and geographic features that could affect vulnerability.
4. Identify vulnerabilities. Circle highly vulnerable areas on the area profile. Account for conditions, such as the prevailing wind pattern and typical temperatures.

Impact Analysis

An impact analysis will determine the overall risk from each hazard.

- 4 = Catastrophic → The organization could not function from its facility. The continuity plan would definitely be implemented.
- 3 = Major → The organization's operations would be disrupted for more than 12 hours. The continuity plan would definitely be implemented.
- 2 = Moderate → Some functions may be interrupted but the organization could be operations within 12 hours. The continuity plan might be implemented.
- 1 = Minor → Organization operations could continue with little or no interruption.

Address the highest-risk, highest-impact hazards first.



5-19

For each potential hazard, consider the impact to the organization by conducting an impact analysis. The results of the impact analysis will determine the overall risk that the organization faces from each type of hazard.

- 4 = Catastrophic → The organization could not function from its facility. The continuity plan would definitely be implemented.
- 3 = Major → The organization's operations would be disrupted for more than 12 hours. The continuity plan would definitely be implemented.
- 2 = Moderate → Some functions may be interrupted but the organization could be operations within 12 hours. The continuity plan might be implemented.
- 1 = Minor → Organization operations could continue with little or no interruption.

The continuity plan should address the highest-risk, highest-impact hazards first.

Identifying Resources for Continuity Planning

The agency pays for continuity planning! Budget for:

- Photocopying.
- Supplies for the planning team.
- Facility costs.
- Training rooms, materials, and instructors.
- Meeting rooms.
- Other program needs.



5-20

The next planning task is to identify the resources required for continuity planning. Resource funds for continuity planning must come from the organization's budget. Budget items to consider include:

- Photocopying.
- Supplies for the planning team (discs, etc.).
- Facility costs.
- Training rooms, materials, and instructors.
- Meeting rooms.
- Other program needs.

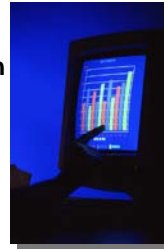
Remember that the time commitment for team members is a resource—and, therefore, a cost. Be realistic about the amount of time continuity planning will take. Work with senior managers to ensure that the team members will be able to devote the time necessary to the continuity planning process.

Establishing Objectives and Milestones

Objectives and milestones keep planning on schedule and help develop a viable plan.

All objectives should be measurable (quantifiable) so that team members will know:

- When the objective has been met.
- Whether the objective is acceptable in
 - Quality.
 - Timeliness.
 - Other established criteria.



5-21

Information Needs and Decisionmaking

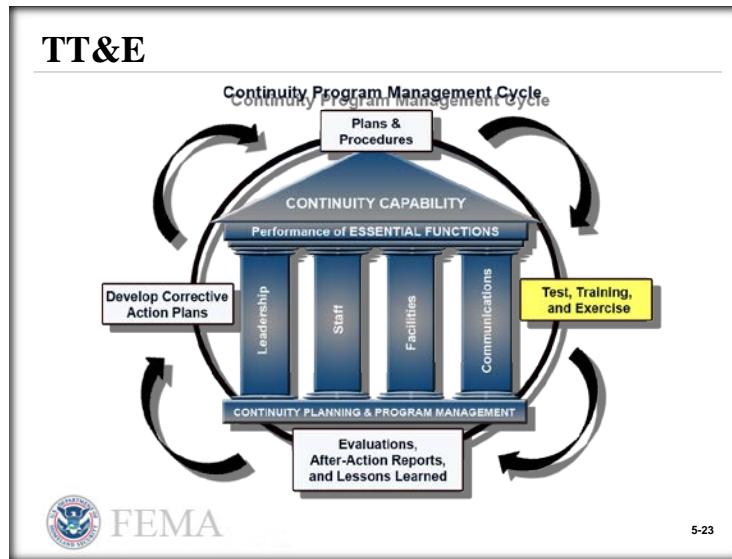
Develop procedures for:

- Gathering information to minimize time and effort.
- Decisionmaking, including who will make final decisions.



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The next step in the Continuity Program Management Cycle is tests, training, and exercises (TT&E).

Because TT&E was covered in detail in Unit 4, it will be touched upon only briefly in this unit.

TT&E

- Tests confirm whether or not systems function as intended.
- Training ensures that all personnel know what to do, how to do it, and when it should be done.
- Exercises provide practice and verification of whether the plan works as intended.



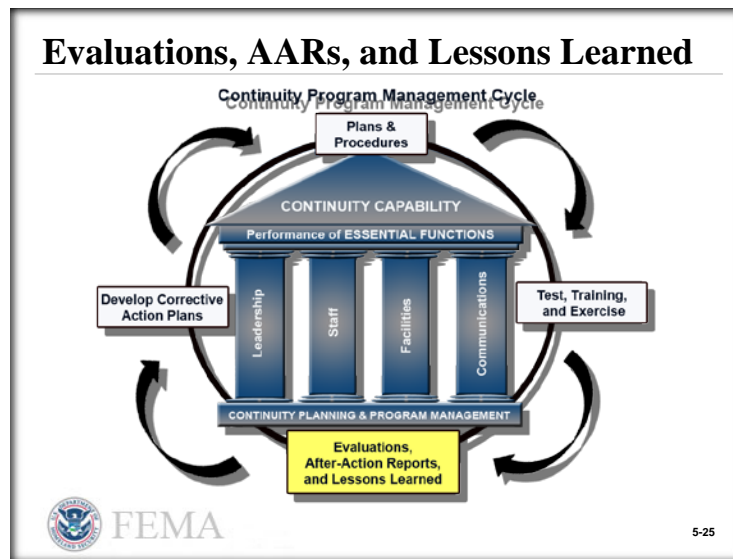
5-24

Note that:

- Tests confirm whether or not procedures, processes, and systems function as intended.
- Training ensures that all personnel know what to do, how to do it, and when it should be done.
- Exercises provide practice and verification of whether the plan works as intended. Sometimes exercises focus on parts of the plan. In other instances, exercises are conducted to test the entire plan.

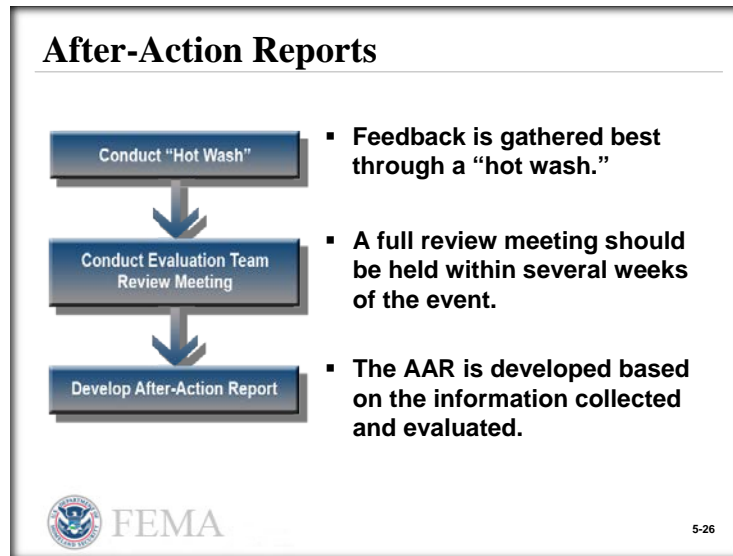
Note that all aspects of a TT&E program should be progressive, beginning at a low level and proceeding to high-level, more complex tests, training, and exercises. For example:

- Tests should begin with single systems and progress to system interaction.
- Training should begin with lecture and discussion and progress to hands-on training.
- Exercises should begin with orientations and proceed through full-scale exercises.



The next phase in the Continuity Program Management Cycle is evaluations, after-action reports (AARs), and lessons learned.

Feedback from TT&E, as well as from actual continuity events, provide a great deal of information about whether or not the Continuity Plan is viable. They should be analyzed and used as a basis for evaluations, after-action reports, and lessons learned.



Documentation from exercises and actual incidents is the basis of the evaluation process. You should review the documentation to:

- Develop an accurate picture of what happened.
- Identify key players.

Note that documentation developed during continuity planning provides valuable information for:

- Identifying lessons learned.
- Improving the continuity process.

It is essential that the continuity plan includes clear documentation procedures and requirements.

Developing After-Action Reports

Feedback is gathered best from a “hot wash” with all of the participants immediately after an exercise.

A full review meeting with all key players should be held within several weeks of the event.

An after-action report is developed by the evaluation team based on information collected during and after the exercise.

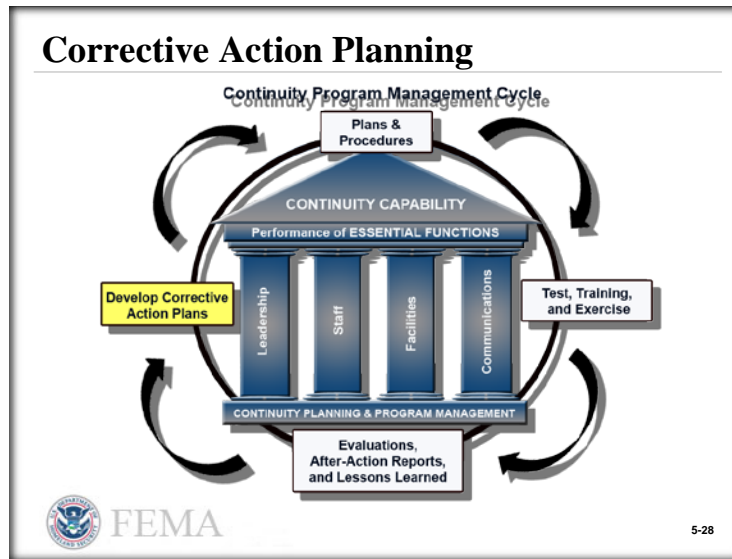


5-27

The after-action report captures feedback received from the “hot wash” and evaluation team, and presents an evaluation of the feedback

- The hot wash should be conducted immediately after the exercise or event and should include as many exercise participants or members of the ERG as possible. Hot washes should be part of the formal feedback process. To ensure that the hot wash participants are as honest with their feedback as possible, nonattribution should be agreed to before the hot wash and observed during the hot wash.
- A full review meeting with all exercise evaluators and/or key personnel should be held within several weeks of the event. The evaluation team’s job is to review the information gathered in the hot wash, add their own observations or evaluative comments, and analyze the comments in the context of the Continuity Plan.
- Using the analysis and evaluation data, the evaluation team (or other personnel assigned) should develop the after-action report, which captures lessons learned. The after-action report should be reviewed by all stakeholders in the continuity planning process, especially the Planning Coordinator and the Continuity Manager. Others also may review the after-action report, depending on agency policy.

The approved after-action report will be used as the basis for the agency’s Corrective Action Program.



The last phase of the Continuity Program Management Cycle is to Develop the Corrective Action Plan. Corrective Action Plans are an integral part of an agency's Corrective Action Program (CAP).

Corrective Action Planning

The Corrective Action Plan should be fully documented and based on:

- Issues raised in the AAR and their recommended resolutions.
- Work assignments for each issue.
- Timeframes for completion.



5-29

The last phase of the Continuity Program Management Cycle is to develop a Corrective Action Plan. The purpose of a Corrective Action Plan is to improve procedures based on lessons learned from TT&E and actual incidents.

The Corrective Action Plan should be fully documented and should include:

- Issues raised in the after-action report and their recommended resolutions.
- Work assignments for each issue or cluster of issues.
- Timeframes for review and completion.
- A TT&E plan with milestones for implementing and documenting the solutions.

Continuity Plan Organization

A Continuity Plan begins with an Executive Summary and has four main sections:

- Part I: Introduction
- Part II: Planning Basis
- Part III: Procedures for Plan Implementation
- Part IV: Maintaining Continuity Readiness



5-30

A continuity plan begins with an Executive Summary and has four main sections:

- Part I: Introduction
- Part II: Planning Basis
- Part III: Procedures for Plan Implementation
- Part IV: Maintaining Continuity Readiness

The continuity plan also may require one or more appendixes, such as an acronym list, a glossary, or maps showing the location of the continuity facility or facilities. Note that specific procedures for completing a job (e.g., job aids or SOPs) should not be included in the plan document or appendixes.

Note that there is no specified format for continuity plans. Agencies may use any format that works for them. FEMA guidance includes a standard format as an approach to plan development and to ensure that all continuity issues are covered.

Refer to the Continuity Plan Concept of Operations on the following page.

Continuity Plan Concept of Operations

Executive Summary	<ul style="list-style-type: none"> ▪ Purpose and goals of the continuity plan ▪ Authorities on which the plan is based ▪ Scope
Part I: Introduction	<ul style="list-style-type: none"> ▪ Plan purpose ▪ Applicability and scope ▪ Authorities and references ▪ Planning assumptions ▪ Concept of Operations
Part II: Planning Basis	<ul style="list-style-type: none"> ▪ Identification and prioritization of essential functions ▪ Identification of personnel necessary to perform essential functions, orders of succession, and delegations of authority ▪ Description of vital records and databases and how they will be protected and made available to ERG personnel ▪ Identification, layout, and critical information about the continuity facility ▪ Specifications for go kits
Part III: Procedures for Plan Implementation	<ul style="list-style-type: none"> ▪ Procedures for each continuity phase (i.e., the Concept of Operations)
Part IV: Maintaining Continuity Readiness	<ul style="list-style-type: none"> ▪ Test, training, and exercise (TT&E) plan and schedule
Appendixes (optional)	<ul style="list-style-type: none"> ▪ Acronym list ▪ Glossary ▪ Location maps of the continuity facility or facilities

Continuity Plan Concept of Operations

The Concept of Operations section describes the procedures for plan implementation in four phases:

- Phase I: Readiness and Preparedness
- Phase II: Activation and Relocation (0–12 hours)
- Phase III: Continuity Operations (12 hours–30 days or until resumption of normal operations)
- Phase IV: Reconstitution (recovery, mitigation, and termination)



5-31

Phase I: Readiness and Preparedness

Readiness and Preparedness involves:

- Completing all elements for a viable continuity program.
- Developing the agency's continuity plan.
- Identifying all resources for continuity operations.
- Conducting and evaluating TT&E events.



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5-32

Phase II: Activation and Relocation

Activation and Relocation involves:

- The activation of the continuity plan.
- Relocation of the ERG to the continuity facility.

Devolution also must be addressed.



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5-33

Activation Procedures

Activation procedures must identify:

- How and how quickly personnel should respond.
- How personnel will participate in the calldown.
- Where to get go kits.
- How continuity activation relates to the OEP.
- What personnel should do to deploy.



5-34

Alert and Notification Procedures

Protocols should describe the entire alert/notification process, including:

- Roles and responsibilities.
- Means of contacting employees.
- Timeframe to complete the calldown.
- Procedures to be tested.
- Drills to be conducted.



5-35

Relocation Procedures

Relocation procedures ensure that continuity personnel know where and when to report.

All relocation procedures should include:

- Relocation instructions.
- A map and directions to the facility.
- A description of the go kits and instructions for their use.
- Administrative and logistics information for the continuity facility.



5-36

Phase III: Continuity Operations

Continuity Operations describes onsite operations at the continuity facility.

- Reception, in-processing, and accounting for ERG personnel
- How operations will transition to the ERG
- Guidance for nondeployed personnel
- Identification of replacement personnel and augmentees, as necessary



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5-37

Phase III: Continuity Operations

Additional planning requirements for Phase III include:

- Execution of all essential functions at the continuity facility.
- Processes and procedures to order, acquire, receive, and pay for resources.
- Notification of customers, suppliers, and others of plan activation.



5-38

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Activity: Notification of Continuity Activation

Purpose: The purpose of this activity is to give you an opportunity to consider all of the individuals and entities requiring notification of continuity plan activation.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
 2. Using the space below, develop a list of internal and external customers, suppliers, stakeholders, and other involved individuals and organizations needing notification of continuity plan activation.
 3. You will have 15 minutes to complete this activity.
 4. Be prepared to present and discuss your list with the class.
-

Day-to-Day Operations

Procedures for day-to-day operations must be developed and:

- Incorporated, by reference, into the plan.
- Maintained where they are readily available during a continuity incident.



5-40

Why should procedures be incorporated by reference in the continuity plan?

Vital Records Procedures

Continuity procedures need to describe how vital records will be:

- Identified.
- Updated.
- Protected.



5-41

Vital records are essential for continuity operations to be successful. Continuity planners need to develop procedures that describe the process for identifying, updating, and protecting vital records.

The procedures also should identify who or which office is responsible for vital records and who is authorized to access them.

Vital Records Procedures

What should procedures for electronic records include?



5-42

Electronic Vital Records Procedures

Procedures for electronic vital records should include:

- How the server can be accessed.
- How/when passwords will be assigned.
- How/how often the files will be updated and maintained.
- How the files will be transferred.



5-43

The bullets on this visual represent minimum procedures. Procedures may need additional content, depending on factors such as the:

- Server capability at the alternate facility or devolution site.
- Security requirements for the records.

Work closely with the office(s) that use the records, and the IT office, to ensure that vital records procedures are consistent with user requirements, security requirements, and IT constraints.

Personnel Accountability Procedures

Personnel accountability procedures address:

- Determining and documenting the safety of all personnel.
- How attendance will be tracked and who will track it.
- Where and how ERG personnel will report when they arrive onsite.
- Who will prepare the attendance report.
- How the report will be forwarded to senior management.



5-44

Status Reporting Procedures

Procedures developed for the status reporting process need to include information about:

- The purpose of the report.
- Information that must be included.
- The format of the report.
- Who receives copies of the report.
- How the reports are submitted.
- How often reports should be prepared.



5-45

The procedures should describe, clearly and fully, all responsibilities for status reporting. Each organization or individual involved in the development, approval, or submission of the report should receive a copy of the procedures.

Communications/Information Technology Procedures

Communications assets are needed to establish and maintain an operational posture at the continuity facility.

Communications and IT equipment must be installed at the continuity facility before procedures can be developed.



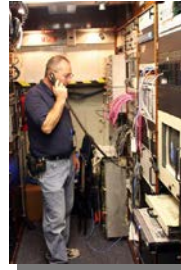
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5-46

Communications Considerations

Consider:

- Providing internal/external calling capability.
- Setting up and changing passwords.
- Accessing voice mail.
- Forwarding and transferring calls.
- Conducting conference calls.
- Using cryptographic ignition keys, if applicable.



5-47

Communications systems must be redundant and interoperable. Analysis of communications needs for backup systems should include consideration of the system specifications to determine alternate system requirements.

Phase IV: Reconstitution

Reconstitution:

- Includes recovery, mitigation, and termination.
- Describes how the organization will restore its essential functions to its primary facility.

After employees are relocated, normal operations can be resumed, and continuity operations can be terminated.



5-48

Personnel Notifications

Notifying personnel to return to work mirrors the process of activation notifications. Principal differences involve timeframes and means.

Notifications can cover a longer period of time and use different means, such as:

- Public media outlets.
- Commercial, high-speed notification services.



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5-49

Information and Materials Transfer

The Continuity Plan must document how:

- Information and materials will be transferred.
- The transfer will be tracked.



5-50

During continuity operations, the Reconstitution Manager will have the responsibility for developing detailed procedures for the transfer of operations back to the original building or to another facility. For the Continuity Plan, identify baseline procedures so that more detailed procedures can be developed during continuity operations.

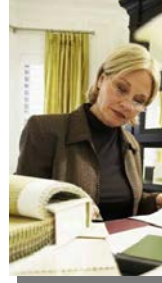
The baseline procedures should document the tasks that continuity personnel will need to complete, such as:

- Saving and transferring information and materials.
- Tracking files, documents, and other materials developed during continuity operations for transfer back to the reconstituted organization.
- Saving files to a specified server and identifying how often the files should be saved.

Continuity Plan Template Instructions

The Continuity Plan Template Instructions are available as a guide for developing the plan.

The Template and Instructions are based on FCD 1 and are found in Appendix B.



5-51

Summary and Transition

This unit:

- Covered the scope and content of Continuity Plans and procedures.

Unit 6:

- Will address operating in a continuity environment.



5-52

Summary and Transition

Questions?



5-53

Unit 6: Operating in a Continuity Environment

Objectives

At the end of this unit, you should be able to:

1. List start-up activities for continuity activation.
 2. Determine and plan for the issues faced by ERG and non-ERG personnel during continuity.
 3. Identify continuity site-related issues.
-

Scope

- Unit Overview and Objectives
 - Initiating Continuity Site Operations
 - Sustaining Continuity Operations
 - Other Site-Related Issues
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Initiating Continuity Site Operations	15 minutes
Sustaining Continuity Operations	10 minutes
Other Site-Related Issues	35minutes
Summary and Transition	5 minutes
Total Time	1 hour 10 minutes

A large rectangular box containing the title "Unit 6: Operating in a Continuity Environment" in bold black text. At the bottom left of the box is the FEMA logo, which includes the Department of Homeland Security seal and the text "FEMA".

Unit 6: Operating in a Continuity Environment



The Continuity Program Manager must consider certain issues to ensure the performance of essential functions when a department or agency is operating at a continuity facility.

Unit 6 will discuss continuity site operations and other site-related issues. The topics covered in this unit are:

- Initiating continuity operations.
- Sustaining continuity operations.
- Other site-related issues.

Unit Objectives

- List start-up activities for continuity activation.
- Identify and plan for the issues faced by ERG and non-ERG personnel during continuity.
- Identify continuity site-related issues.



6-2

Initiating Continuity Operations

Tasks for transitioning to the continuity facility:

- Notify all involved that the continuity plan has been activated.
- Provide guidance to ERG and non-ERG personnel.
- Account for all personnel.
- Determine ready status to continue operations for up to 30 days.



6-3

Notify All Involved Personnel

The continuity planning process involves determining who needs to be notified both inside and outside the organization.

- All agency personnel
- Suppliers on which the organization relies
- Customers that rely on the organization



6-4

Guidance to ERG Personnel

Clear guidance prepares the ERG staff to perform their work tasks despite the upheaval.

ERG personnel need to know:

- How to get to the continuity location.
- When they are to report.
- What to bring with them.
- What they will do when they get there.



6-5

Guidance to Non-ERG Personnel

Those who are not relocating need to know:

- How to report their status.
- To whom they need to report.
- How often to check in.
- How to get information about the agency's current situation.
- How they will be notified to report back to work.



6-6

Information Non-ERG Staff Need

What are some of the information needs for non-ERG staff?



6-7

Information Non-ERG Staff Need

Non-ERG personnel need to:

- Know how they will be notified and by whom.
- Receive instructions regarding what they will do during a continuity event.
- Receive training on what to do upon notification of Continuity Plan implementation.
- Provide complete contact information.
- Know if they may be called in.
- Know how they will be notified if called in.
- Know how they will be notified to return to work.

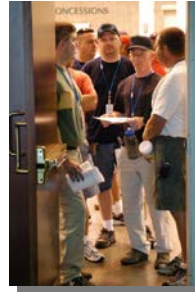


6-8

Account for All Personnel

Personnel are an agency's most valuable asset. Be sure to:

- Identify missing personnel.
- Take measures to locate them and ensure their safety.
- Account for personnel who are not immediately essential (non-ERG).



6-9

Account for All Personnel

Non-ERG personnel are an important resource as continuity operations progress. Non-ERG staff may:

- Provide relief for some ERG personnel.
- Increase the number of functions that can be run from the continuity location.



6-10

Determine When Continuity Site is Operational

Tasks to determine site readiness:

- Verify the status of needed resources and requirements.
- Develop a checklist to facilitate a quick inventory of materials, utility functions, and other key items at the continuity facility.



When ERG personnel are ready, and needed resources are in place, operations at the continuity facility can begin.



6-11

Sustaining Continuity Operations

Operations may expand as continuity progresses, so procedures for expansion should be included in the continuity plan.

Consider the personnel needs and stress levels for staff who are:

- Working longer shifts.
- Taking on additional responsibilities.
- Sharing cramped work spaces.
- Functioning with fewer resources.



6-12

Taking Care of Continuity Staff

- The ERG staff needs rest areas, food, recreation opportunities, and other opportunities to relieve stress, especially during sustained operations.
- Critical Incident Stress Debriefings (CISD) may be needed.



6-13

Other Site-Related Issues

The Continuity Plan needs to cover health and safety issues, such as:

- Where needed medications can be obtained.
- What to do if injured on the job.
- Where to get medical attention if needed.



FEMA

6-14

Site Security

Site security is critical. Check with local law enforcement and the facility's security company to see if any additional security is required.



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6-15

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Activity: Identify Site-Related Issues

Purpose: The purpose of this activity is to give you an opportunity to identify site-related issues that need to be addressed in your organization's Continuity Plan.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
 2. Using the space below, identify site-related issues that need to be addressed in your organization's Continuity Plan.
 3. You will have 10 minutes to complete this activity.
 4. Be prepared to present and discuss your list of site-related issues with the class.
-

Summary and Transition

This unit:

- Described continuity plan implementation and operations at the continuity facility.

Unit 7:

- Will cover developing a Corrective Action Program (CAP).



6-17

Summary and Transition

Questions?



6-18

Unit 7: Developing a Corrective Action Program

Objectives

At the end of this unit, you should be able to:

1. Explain the purpose of a Corrective Action Program (CAP).
 2. Explain how a CAP benefits and supports a continuity program.
 3. Identify the requirements for corrective action.
 4. Propose a CAP for your agency.
-

Scope

- Unit Overview and Objectives
 - Purpose of a CAP
 - Developing an Effective CAP
 - Implementing a CAP
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Purpose of a CAP	10 minutes
Developing an Effective CAP	20 minutes
Implementing a CAP	45 minutes
Summary and Transition	5 minutes
Total Time	1 hour 25 minutes



**Unit 7: Developing a Corrective
Action Program**



A Corrective Action Program (CAP) is developed to support and enhance an effective continuity program. The topics covered in unit 7 are:

- The purpose of a CAP.
- Developing an effective CAP.
- Implementing a CAP.

Unit Objectives

- Explain the purpose of a CAP.
- Explain how a CAP benefits and supports a continuity program.
- Identify the requirements for a CAP.
- Identify important planning considerations for a CAP.
- Propose a CAP for your agency.



7-2

Purpose of a CAP

An effective CAP ensures that:

- Requirements for corrective actions are addressed.
- Expertise is available for corrective actions.
- All continuity activities are managed and monitored.
- Corrective actions are implemented into the plan.
- The continuity program evolves and improves.



7-3

Benefits of a CAP

- Promotes continual continuity program improvement
- Stimulates preemptive planning to avoid future failures
- Delineates clear lines of communication and responsibility by publicizing points of contact
- Encourages open dialog to identify program weaknesses



7-4

Developing an Effective CAP

Requirements for corrective action will surface through test, training, and exercise (TT&E) events or following an actual continuity event.



Through this continual process, new requirements are identified, and new solutions are implemented.



Developing an Effective CAP

What activities are needed to develop an effective CAP?



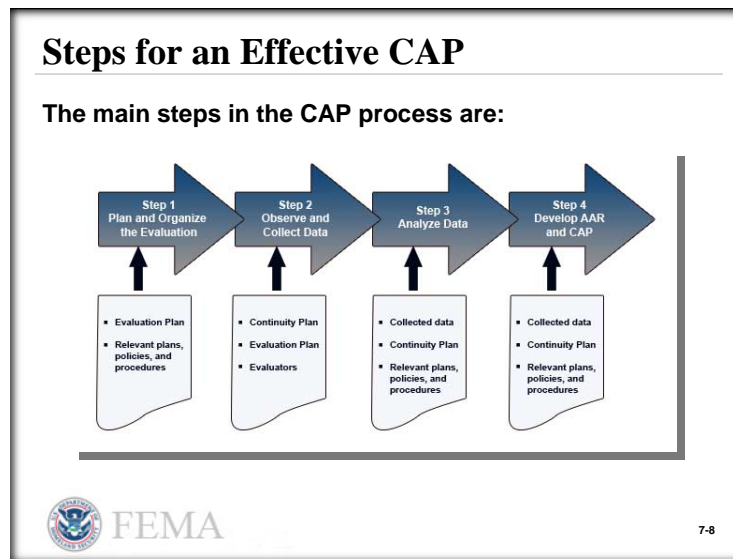
7-6

Developing an Effective CAP

- Plan and organize the evaluation.
- Gather information from other continuity programs to benefit from successful experiences and learn from failures.
- Focus on the functional areas of the continuity program.
- Add functional area experts to the CAP team.
- Enlist senior leaders' support and involvement.
- Document development decisions and outcomes.
- Establish acceptance criteria for corrective actions.



7-7



The main steps in the CAP process are:

Step 1: Plan and organize the evaluation based on:

- The Continuity Evaluation Plan.
- Relevant plans, policies, and procedures.

Step 2: Observe and collect data based on the:

- Continuity Plan.
- Evaluation Plan.
- Evaluator feedback.

Step 3: Analyze data based on the:

- Data collected.
- Continuity Plan.
- Relevant plans, policies, and procedures.

Step 4: Develop an after-action report and CAP based on the:

- Data collected.
- Continuity Plan.
- Relevant plans, policies, and procedures.

Step 1: Plan and Organize the Evaluation

Planning and organizing the evaluation involves:

- Appointing a lead evaluator.
- Defining the Evaluation Plan.
- Finalizing the Evaluation Plan.
- Conducting an evaluator briefing.



7-9

Step 2: Collect Data

When collecting and analyzing data, be sure to record:

- The function involved.
- The action that occurred and who took the action.
- When the action took place.
- Why the action took place or the decision was made.
- The result of the action.



7-10

Step 3: Analyze Data

Context for analyzing data:

- The Continuity Plan's Concept of Operations
- Directives, policies, and procedures for continuity operations
- Demonstrated strengths, as well as areas for improvement
- Chronological narrative of operations



7-11

Step 4: Develop AAR and CAP

Evaluators develop a chronological narrative of the decisions, actions, and outcomes of continuity operations focusing on:

- Execution of the Concept of Operations.
- On-time, acceptable performance of essential functions.
- Adequacy of ERG training or cross-training.



7-12

Step 4: Develop AAR and CAP

Performance factors included in the after-action report:

- Resource shortcomings that inhibit the ability to perform identified essential functions
- Coordination of agency personnel to perform tasks and support functions
- Whether a need exists for additional plans, policies, and procedures to support essential functions



7-13

Step 4: Develop AAR and CAP

Development of the CAP follows acceptance of the AAR.
The CAP should include:

- Actions and recommendations presented in the AAR.
- Individuals responsible for taking corrective action.
- Timelines for completing each corrective action.



7-14

Steps for the CAP Process

Step 1: Plan and Organize the Evaluation

Appoint a Lead Evaluator	<p>Early in the exercise process—or before an incident requiring Continuity Plan activation occurs—the Planning Team Leader should appoint a lead evaluator to oversee all facets of the evaluation process. The lead evaluator participates fully as a member of the planning team and should be a senior-level individual who is familiar with:</p> <ul style="list-style-type: none"> ▪ The agency’s Continuity Plan. ▪ Operations related to the agency’s essential functions. ▪ Interagency and/or interjurisdictional coordination issues related to continuity operations. <p>The lead evaluator must have the management skills needed to oversee a team of evaluators during extended operations, and the knowledge and analytical skills to undertake a thorough and accurate analysis of all continuity operations.</p>
Define Evaluation Requirements	<p>Before assembling an evaluation team, the planning team must define evaluation requirements by considering the exercise scope and objectives (if evaluating an exercise) or continuity operations within each function (if evaluating actual continuity operations). The final evaluation plan should be developed based on the evaluation requirements.</p>

Step 2: Observe and Collect Data

Collect Data	<p><u>Collecting data</u> requires detailed observation of operations, as well as feedback from the exercise players (if evaluating an exercise), ERG personnel, and/or the agency leader. It is critical for evaluators to keep an accurate written record of what they observe and the feedback that they receive from key personnel. Data should also be collected from participating personnel following the exercise or operations. Finally, any supplemental data that are crucial to fill in information gaps (e.g., records produced by an automated system) should be collected.</p>
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Step 3: Analyze Data

Analyze Data	<p><u>Analyzing data</u> involves consolidating the data collected and transforming them into narratives that address demonstrated strengths and areas for improvement. Continuity operations require comprehensive data evaluation.</p>
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Steps for the CAP Process (Continued)**Step 4: Develop AAR and CAP**

Develop AAR and CAP

Developing the AAR and CAP involves developing a chronological narrative of the decisions, actions, and outcomes of continuity operations. The narrative should focus on:

- How well the ERG executed the Continuity Plan's Concept of Operations.
- Whether the ERG performed the essential functions to an acceptable level.
- Whether staff training or cross-training was adequate.

Performance factors should be included in the AAR, which should also specify whether additional plans, policies, and/or procedures are necessary to support the performance of the agency's essential functions.

After the AAR is accepted, the Corrective Action Plan should be developed. The Corrective Action Plan should:

- Identify actions necessary to address areas needing improvement and the associated recommendations.
- Assign responsibilities for taking corrective actions to individuals or groups.
- Include the timeline for each corrective action.

Corrective actions should be implemented, tested, and validated through exercises.

Task 1: Implementing CAP

Explain CAP to those affected by the program to ensure that they understand it. Consider:

- Senior leaders.
- Other managers.
- Continuity personnel.
- Other experts, as required.



7-15

Task 2: CAP Concept Document

Develop and distribute a concept document. The concept document:

- Explains the program.
- Outlines the acceptance criteria.
- Describes the process to be followed.
- Defines responsibility for corrective action.



7-16

Managing a CAP

The tasks required for CAP management are:

- Checking on progress and revising the plan, as necessary.
- Monitoring successes.
- Conducting periodic assessments.
- Maintaining records.



7-17

Managing a CAP

The success of a CAP correlates with:

- The number of requirements identified.
- The number actually addressed.

Keep good records to verify whether improvements in the continuity program are a result of the corrective action process.



7-18

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Activity: Corrective Action Planning

Purpose: The purpose of this activity is to give you an opportunity to practice corrective action planning.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
2. Read the scenario below, and answer the questions that follow:

Your agency has recently conducted an exercise. The after-action report highlights the following issues:

- The call-down roster was not current.
- The Continuity Program Manager was on temporary duty. The delegation of authority delegated an individual who retired 2 months ago.
- Cell phones did not work in the continuity facility.
- Some vital records were not up to date.
- The continuity facility had supplies for only 3 days of operations.
- Headquarters badges did not work for access to the continuity facility.

What are the issues, in order of priority, for continuity operations?

How will you resolve each issue?

3. You will have 15 minutes to complete this activity.
 4. Be prepared to present and discuss the decisionmaking process behind your prioritized list of the continuity site issues.
-

Summary and Transition

This unit covered:

- Corrective action planning.

Unit 8:

- Will address the issues involved in family support planning.



7-20

This unit covered Corrective Action Planning. An effective Corrective Action Program provides valuable information about what works—and what does not—in the continuity program.

Employees will perform better in a continuity situation if they know that their families are provided for. Unit 8 will cover the issues involved in family support planning.

Summary and Transition

Questions?



7-21

Unit 8: Family Support Planning

Objectives

At the end of this unit, you should be able to:

1. Describe the need for a family support plan.
 2. Identify key family support planning issues.
 3. Recognize the need for family support services at the continuity site.
-

Scope

- Unit Overview and Objectives
 - Preincident Family Support Planning
 - Communicating During Continuity Operations
 - Special Family Considerations
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Preincident Family Support Planning	25 minutes
Communicating During Continuity Operations	5 minutes
Special Family Considerations	55 minutes
Summary and Transition	5 minutes
Total Time	1 hour 35 minutes

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Unit 8: Family Support Planning

During a continuity situation, employees will need to focus on maintaining essential functions. Their focus will be disrupted if the employees are also concerned about their families' safety and security. The topics covered in Unit 8 are:

- Preincident family support planning.
- Communicating during continuity operations.
- Special Family Considerations.

Unit Objectives

- Describe the need for a family support plan.
- Identify key family support planning issues.
- Establish family support services at the continuity site.



FEMA

8-2

Preincident Family Support Planning

Employees should be encouraged to prepare and practice a family support plan before an incident occurs.

A family support plan:

- Reduces the number of decisions that need to be made when stress levels are high.
- Ensures that family members are safe and secure during an emergency.
- Helps continuity personnel focus on their jobs.



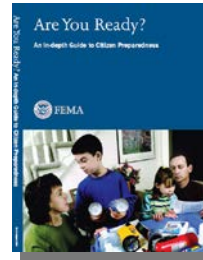
FEMA

8-3

Preparing Your Family

Web sites with practical guidance and checklists to help with family support planning:

- FEMA—Community and Family Preparedness
- FEMA—Are You Ready?
- Ready America
- The American Red Cross
- CDC—Emergency Preparedness
- CNIC—Operation Prepare
- HHS—Pandemic Influenza Planning
- NOAA—Hurricane Preparedness



8-4

Community and Family Preparedness Program Websites

FEMA Community and Family Preparedness Program	http://www.fema.gov/about/community.shtm
FEMA—Are You Ready?	http://www.fema.gov/areyouready/
Ready America	http://www.ready.gov
The American Red Cross—Get Prepared	http://www.redcross.org/services/prepare/0,1082,0_239_00.html
Centers for Disease Control and Prevention (CDC)—Emergency Preparedness	http://www.bt.cdc.gov/preparedness
Commander Navy Installation Command (CNIC)—Operation Prepare	http://www.cnic.navy.mil/CNIC_HQ_Site/OpPrepare
Department of Health and Human Services (HHS)—Pandemic Influenza Planning	http://www.pandemicflu.gov/plan/pdf/guide.pdf
National Oceanic and Atmospheric Administration (NOAA)—Hurricane Preparedness	http://www.nhc.noaa.gov/HAW2/english/disaster_prevention.shtml

Developing a Personal Go Kit

Some essential provisions of a go kit include:

- Personal items and necessities.
- Cash.
- Financial and legal documents that cannot be replaced easily.
- An out-of-area point of contact, because telephone calls in the local area may be restricted during a widescale emergency.



8-5

Personal Go Kit Items

What items should everyone include in their personal go kits?



8-6

Personal Go Kit Items

- 3-day supply of nonperishable food
- 3-day supply of water (one gallon per person per day)
- Portable, battery-powered radio with extra batteries
- First aid kit and manual
- Sanitation and hygiene items
- Matches and waterproof container



8-7

Personal Go Kit Items

- Whistle
- Extra clothing
- Cooking utensils and can opener
- Photocopies of credit and identification cards
- Cash
- Special needs items (e.g., prescriptions)
- Items for infants



FEMA

8-8

Family Support Measures

Activate an emergency information call-in number to:

- Provide information about organization operations, pay and benefits, and other items of interest.
- Put employees at ease about work-related issues.
- Reassure employees regarding family safety.
- Allow employees to focus on continuity tasks.



FEMA

8-9

Family Support Measures

Other steps to support families include:

- Developing an accounting system for all employees. Develop an employee contact list, and keep it in the office go kit.
- Providing guidance and assistance to employees and their families. Anticipate questions and respond to issues so that ERG members can focus on their work.



FEMA

8-10

Communicating During Continuity Operations

Develop a communications plan for all employees that:

- Incorporates regular communications to employees.
- Updates information, as necessary, and as soon as possible during an emergency.



8-11

Special Family Support Considerations

Situations arise during an emergency that require special consideration. For example:

- Notifying next of kin.
- Arranging for dependent care.
- Ensuring the physical and mental health of employees and their families.



FEMA

8-12

Notifying Next of Kin

The agency must prepare for the possibility that employees may die, and have procedures in place for notifying the next of kin. Consider:

- Who will make the notification.
- What information to provide.

Document the procedures during the planning process.



FEMA

8-13

Notifying Next of Kin

Family members may have questions that cannot be answered immediately. The agency should assure the family that it will do its best to get the information that they need and to keep them updated.



8-14

Dependent Care

Employees with responsibilities for dependents need to develop backup care plans.

Be sure that employees realize that they are responsible for planning and paying for their dependent care.



8-15

Health and Well-Being

To facilitate employee health and well-being:

- Make health support services available.
- Ensure that work stations are safe and free of potential hazards.
- Encourage employees to take health and wellness classes on their own time.
- Promote stress-relieving activities.
- Provide medical care near the site.



8-16

Promote Family Support Planning

The agency's ability to respond to a continuity situation depends on the personal readiness of its employees.

A family support plan, prepared in advance, reduces the number of decisions that need to be made during the emergency.



8-17

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Activity: Planning Family Communications

Purpose: The purpose of this activity is to give you an opportunity to consider the elements of a family communications plan.

Instructions: Follow the steps below to complete this activity.

1. Work individually to complete this activity.
 2. Using the space below, develop a communications plan for your family.
 3. You will have 20 minutes to complete this activity.
 4. Be prepared to present and discuss your family communications plan with the class, as well as the need to plan and test continuity communications.
-

Summary and Transition

This unit:

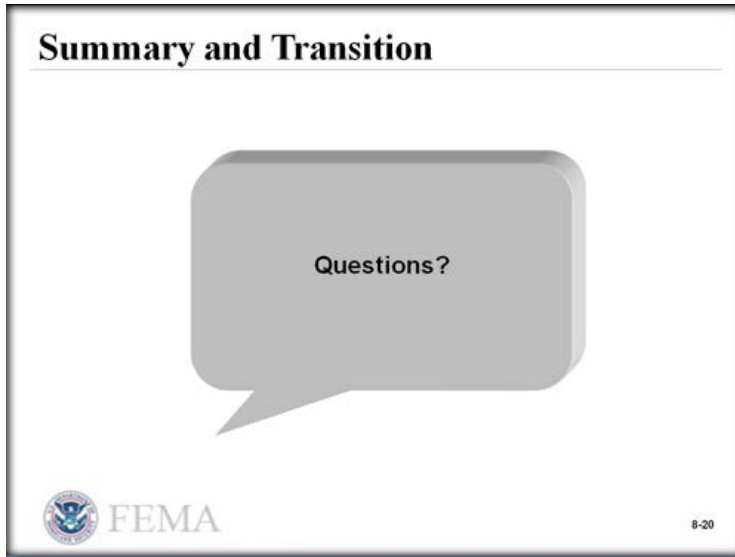
- Addressed family support planning.

Unit 9:

- Will identify outreach programs that are available to assist program managers with continuity planning.



8-19



Unit 9: Outreach and Resources

Objectives

At the end of this unit, you should be able to:

1. Identify existing outreach programs related to continuity planning.
 2. Identify opportunities to partner within and outside of the organization.
-

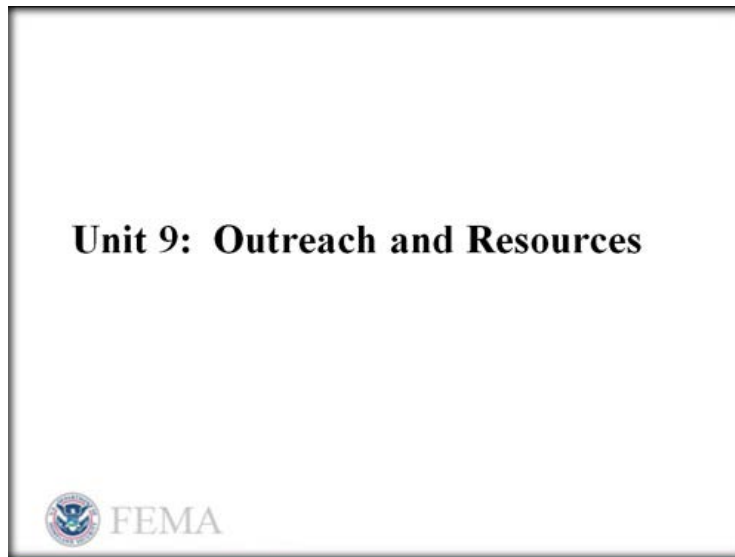
Scope

- Unit Overview and Objectives
 - Outreach Programs
 - Support for Continuity Program Managers
 - Summary and Transition
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Outreach Programs	30 minutes
Support for Continuity Program Managers	35 minutes
Summary and Transition	5 minutes
Total Time	1 hour 15 minutes



There are many resources available to help Continuity Managers develop and maintain their programs. This unit identifies some of the outreach programs that can assist with continuity planning and their associated benefits. The topics covered in Unit 9 are:

- Outreach Programs.
- Support for Continuity Program Managers.

Unit Objectives

- Identify existing outreach programs related to continuity planning.
- Identify opportunities to partner within and outside of the organization.



9-2

Outreach Programs

Continuity Program Managers can partner with outreach programs available through:

- Headquarters-based groups.
- Regionally based groups.
- Other agencies with continuity responsibilities.
- Inreach.



9-3

A strong continuity program requires significant effort. Fortunately, there is a wealth of information available to agencies as they complete their continuity plans. One way to enhance planning efficiency is to form partnerships.

There are several programs currently available to assist Continuity Program Managers. These programs exist at the headquarters and regional levels of many organizations.

This lesson will identify outreach programs available through:

- Headquarters-based groups.
- Regionally based groups.
- Agencies with continuity responsibilities.
- Inreach.

Headquarters-Based Groups

FEMA chairs the interagency Continuity Advisory Group (CAG). The CAG:

- Issues guidance for headquarters and regional levels of Federal agencies.
- Coordinates and disseminates guidance to the regional level.
- Non-Federal groups?



9-4

State, local, territorial, and tribal governments may have similar working groups to help with continuity planning.

CAG's Mandate

The CAG is the principal interagency forum for:

- Discussion of continuity policy, plans, and procedures.
- Dissemination of information to agencies.
- Guidance in development and improvement of continuity plans and capabilities.



9-5

Small Agency Council

The Small Agency Council assists smaller Federal agencies with their continuity planning efforts.

Many Federal agencies and other government entities have their own internal continuity working groups.

These groups:

- Exchange ideas and information.
- Assist each other in developing guidance.



9-6

Many individual agencies have their own internal continuity working groups as well. State, local, territorial, and tribal governments may have similar groups. These groups meet to exchange ideas and information, as well as to assist each other in developing guidance.

Regionally Based Groups

- Federal Executive Boards (FEBs) conduct joint exercises, workshops, and seminars.
- Regional Interagency Steering Committees (RISCs) are a forum for agencies involved in Federal response to disasters.
- Regional offices for FEMA and GSA provide continuity advice and training for regional counterparts.



9-7

FEMA Continuity Responsibilities

FEMA, as the Lead Agent for the Federal Executive Branch, is responsible for:

- Coordinating the continuity activities of Federal Executive Branch agencies.
- Issuing continuity policy guidance.
- Conducting assessments of the continuity capabilities and reporting to the Homeland Security Council.
- Chairing the Interagency CWG.

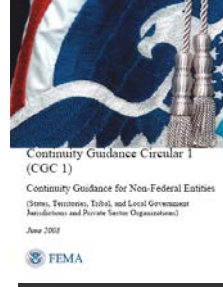


9-8

FEMA Continuity Responsibilities

FEMA provides guidance and training sessions for State, local, territorial, and tribal continuity planning.

FEMA guidance and training is supplemented by States that developed CWGs, training, and other guidance.



GSA Continuity Responsibilities

GSA has responsibility for:

- Maintaining a database of all operational continuity facilities.
- Acting as the Federal Government's landlord and supplier.

Non-Federal governments can use GSA Schedule contracts for procurements before and after disasters of all types.



9-10

Through the Disaster Recovery Purchasing Program, GSA supports State, local, territorial, and tribal government efforts to ensure continuity. These entities can use GSA Schedule contracts for procurements before and after major disasters of all types.

Agency Continuity Responsibilities

Individual agencies are responsible for:

- Appointing a continuity POC.
- Developing a Multi-Year Strategy and Program Management Plan.
- Developing, approving, and maintaining continuity plans and procedures.
- Conducting TT&E for continuity plans and procedures.



9-11

Agency Continuity Responsibilities

Additional individual agency responsibilities include:

- Participating in interagency continuity exercises.
- Providing notifications of continuity plan activation.
- Providing updates on continuity status.
- Coordinating intraagency continuity efforts in accordance with directives.



FEMA

9-12

Inreach

What should you be doing to promote continuity planning within your organization?



9-13

Inreach

Within your organization, you should:

- Promote the continuity program.
- Partner with other segments of the organization.
- Demonstrate planning results.
- Conduct TT&E activities.



9-14

Support for Continuity Program Managers

Senior leadership supports the continuity process by:

- Establishing continuity planning as an organization priority.
- Appointing a Continuity Program Manager.
- Identifying and prioritizing essential functions.

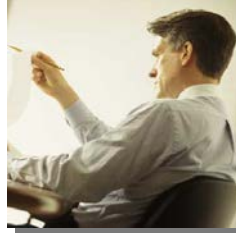


9-15

Support From Agency Leaders

The agency leader shows support by:

- Approving the continuity plan.
- Supporting continuity processes and procedures.
- Conducting continuity planning sessions to establish goals and objectives.
- Approving the MYPMP.



9-16

Continuity Responsibilities for Agency Leaders

Continuity Planning Responsibilities for Agency Leaders

Responsibility	Involves
Establishing the order of succession and delegations of authority	Provisions in place for the transfer of authority if one is required
Coordinating intraagency continuity efforts and initiatives	Policies, plans, and activities in accordance with directives related to terrorism, critical infrastructure protection, and other hazards that may require continuity plan activation
Safeguarding vital records	Backup copies of vital records current and safe
Designating go kit responsibility	Individual responsible for maintaining the office go kit identified
Involving organization in internal and interagency continuity exercises	Organization participation in interagency continuity exercises and internal TT&E
Ensuring all information technology requirements are identified	Information technology processes integrated into continuity planning and procedures
Promoting family support planning	Consideration for care, protection, and well-being of each employee's family members

Continuity Implementation Responsibilities for Agency Leaders

Responsibility	Involves
Activating the continuity plan	Emergency notification given
Notifying the designated operations center of continuity implementation	Notification that activation has occurred
Providing updates on continuity status	Status notifications to the designated operations center
Ensuring all ERG members report to the continuity site	Check in and commencement of operations
Submitting daily reports	Report generation, as required

Continuity Responsibilities for Agency Leaders (Continued)**Continuity Reconstitution Responsibilities for Agency Leaders**

Responsibility	Involves
Ensuring that personnel accountability procedures (including time and attendance procedures) are in place	All employees accounted for and work hours for ERG members tracked
Assigning a reconstitution point of contact	A single person to manage the overall reconstitution process (may be assisted by a reconstitution team, as appropriate)
Planning for and assisting in the reconstitution process	Policies, plans, directives, and procedures to govern the reconstitution process

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Activity: Planning Continuity Communications

Purpose: The purpose of this activity is to give you an opportunity to plan the tasks that will enable you to promote continuity planning at your agency.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
2. Complete the Continuity Outreach Worksheet below for your agency.
3. You will have 15 minutes to complete this activity.
4. Be prepared to present and discuss your completed Continuity Outreach Worksheet with the class.

Continuity Outreach Worksheet	
Task	Options
1. Identify three possible groups: Public or private organizations; or Federal, State, and local entities with which to form partnerships.	1.
	2.
	3.
2. Identify three specific and distinct benefits of continuity planning that you can use to sell the continuity program to managers within the organization.	1.
	2.
	3.
3. Identify at least three tasks and activities needed to create a continuity marketing plan.	1.
	2.
	3.

Summary and Transition

This unit:

- Identified resources for continuity planning.
- Covered outreach opportunities and programs.

Unit 10:

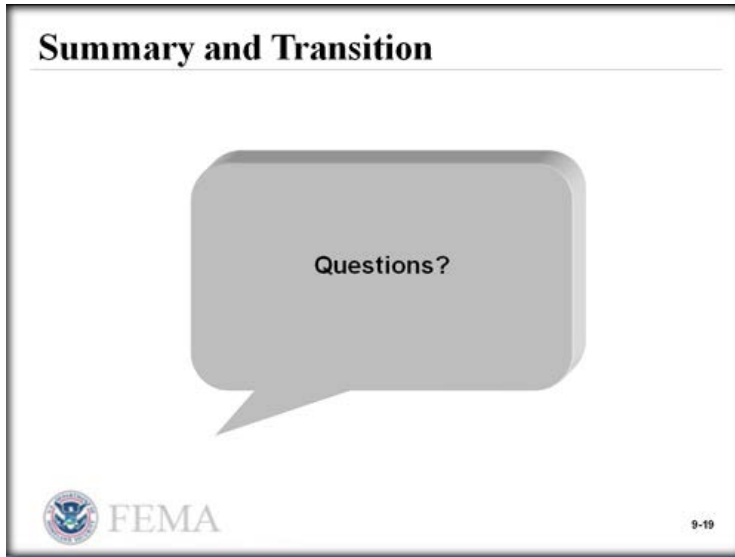
- Will summarize the course and present the final exam.



9-18

This unit identified resources for continuity planning. It covered outreach opportunities and programs that provide assistance for the development of a continuity plan.

Unit 10 will summarize the course and presents the final exam.



Unit 10: Course Summary and Final Exam

Objectives

At the end of this unit, you should be able to:

1. Summarize the key points from this course.
 2. Identify specific areas of continuity planning on which to focus in the near term.
-

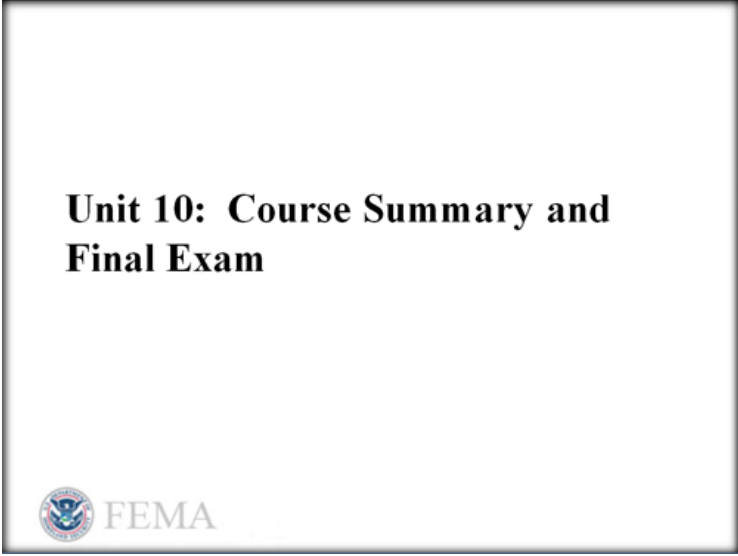
Scope

- Introduction and Unit Overview
 - Next Steps
 - Final Exam
 - Course Summary and Adjournment
-

Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Introduction and Unit Overview	5 minutes
Next Steps	20 minutes
Final Exam	30 minutes
Course Summary and Adjournment	5 minutes
Total Time	1 hour

A rectangular box containing the title "Unit 10: Course Summary and Final Exam" and the FEMA logo at the bottom left.

Unit 10: Course Summary and Final Exam



In this unit, you will participate in an activity to summarize the course and identify your future continuity planning efforts.

You will also take the final exam for the course.

Unit Objectives

- Summarize the key points from this course.
- Identify specific areas of continuity planning on which to focus in the near term.



10-2

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Activity: Future Planning Efforts

Purpose: The purpose of this activity is twofold:

- To enlist your help in summarizing the key learning points from the course
- To provide you with an opportunity to identify your immediate continuity planning efforts

Instructions: Follow the steps below to complete this activity:

1. Work in table groups, as assigned by the Instructor.
 2. Develop a list of your agency's immediate continuity planning requirements.
 3. You will have 10 minutes to complete this activity.
 4. When you have finished, be prepared to present and discuss your requirements with the class.
-

Your instructor will give you instructions on how to take the final exam.

Course Summary and Adjournment

This unit provided an opportunity to:

- Review the key points from the course
- Focus on your next planning requirements.



Thank you for participating in this course!



10-4

Unit 10 provided an opportunity for you to review the key points from the course and focus on your next planning efforts.

Appendix A: Glossary

Activation. When a continuity plan has been implemented, whether in whole or in part, it is considered “activated.”

Agencies. Federal departments and agencies means those executive departments enumerated in 5 U.S.C. § 101, together with the Department of Homeland Security (DHS), independent establishments, as defined by 5 U.S.C. § 104(1), Government corporations, as defined by 5 U.S.C. § 103(1), and the United States Postal Service (USPS). The departments, agencies, and independent organizations are referred to in this document as “agencies.”

Agency Head. The highest-ranking official of the primary occupant agency, or a successor or designee who has been selected by that official.

Alternate Facilities. Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity event. “Alternate facilities” refers to not only other locations, but also nontraditional options, such as working at home (“teleworking”), telecommuting, and mobile-office concepts.

Catastrophic Emergency. Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.

Communications. Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions of the organization. Robust communications help ensure that the leadership receives coordinated, integrated policy and operational advice and recommendations, and will provide the ability for governments and the private sector to communicate internally and with other entities (including with other Federal agencies, State, local, territorial, and tribal governments, and the private sector), as necessary to perform their Mission Essential Functions (MEFs).

Continuity. An uninterrupted ability to provide services and support, while maintaining organizational viability before, during, and after an event.

Continuity Capability. The ability of an organization to continue to perform its essential functions, using Continuity of Operations (COOP) and Continuity of Government (COG) programs, and continuity requirements that have been integrated into the organization’s daily operations, with the primary goal of ensuring the preservation of our form of government under the Constitution, and the continuing performance of National Essential Functions (NEFs), under all conditions. Building upon a foundation of continuity planning and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.

Continuity Coordinators. Representatives of executive branch departments and agencies at the assistant secretary (or equivalent) level.

Continuity of Government (COG). A coordinated effort within each branch of government (e.g., the Federal Government’s Executive Branch) to ensure that NEFs continue to be performed during a catastrophic emergency. Note, this term may also be applied to non-Federal governments.

Continuity of Government Readiness Condition (COGCON). COGCON is a system for establishing, measuring, and reporting the readiness of executive branch continuity programs, which is independent of other Federal Government readiness systems. (See Table 3 in Annex N for a detailed COGCON matrix.)

Continuity of Operations (COOP). An effort within individual agencies to ensure that they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Continuity Personnel. Those personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations.

Continuity Program Management Cycle. An ongoing, cyclical model of planning, training, evaluating, and implementing corrective actions for continuity capabilities.

Corrective Action Program (CAP). An organized method to document and track improvement actions for a program. The CAP System is a web-based tool that enables Federal, State, and local emergency response and homeland security officials to develop, prioritize, track, and analyze corrective actions following exercises or real world incidents. Users may enter data from a finalized after-action report/improvement plan, track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

Delegation of Authority. Identification, by position, of the authorities for making policy determinations and decisions at HQ, field levels, and all other organizational locations. Generally, predetermined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

Devolution. The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.

Emergency Operating Records. Records that support the execution of an agency's essential functions.

Emergency Relocation Group (ERG). Predesignated staff who move to an alternate facility to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.

ERG Member. A person who has been assigned responsibility to report to an alternate facility, as required, to perform agency essential functions or other tasks related to continuity operations.

Essential Functions. The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: NEFs, PMEfs, and MEFs.

Executive Departments and Agencies. Executive departments enumerated in 5 U.S.C. 101, along with DHS, independent establishments, as defined by 5 U.S.C. § 104(1), Government corporations, as defined by 5 U.S.C. § 103(1), and the United States Postal Service.

Facilities. Locations where an organization's leadership and staff operate. Leadership and staff may be co-located in one facility or dispersed across many locations and connected by communications systems. Facilities must be able to provide staff with survivable protection and must enable continued and enduring operations.

Federal Continuity Directive (FCD). A document developed and promulgated by DHS, in coordination with the CAG and in consultation with the CPCC, which directs executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

Federal Executive Boards (FEBs). A forum, established by Presidential Directive in 1961, for communication and collaboration among Federal agencies outside of Washington, DC, utilized to help coordinate the field activities of Federal departments and agencies, primarily in our Nation's larger cities. With approximately 88 percent of all Federal employees working outside of the National Capital Region, the national network of 28 FEBs serves as a cornerstone for strategic partnerships in government.

Full-Scale Exercise. A full-scale exercise is a multiagency, multijurisdictional, multidiscipline exercise involving functional (e.g., joint field office, emergency operations centers) and "boots on the ground" response (e.g., continuity staff relocating to their alternate sites to conduct scenario-driven essential functions).

Functional Exercise. A functional exercise examines and/or validates the coordination, command, and control between various multiagency coordination centers (e.g., emergency operations centers, joint field office). A functional exercise does not involve any "boots on the ground" (i.e., first responders or emergency officials responding to an incident in real time).

Go Kit. A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual's personal and professional needs during deployment.

Government Functions. Government functions include both the collective functions of the heads of agencies, as defined by statute, regulations, Presidential direction, or other legal authority, and the functions of the legislative and judicial branches.

Homeland Security Exercise and Evaluation Program (HSEEP). A capabilities-based and performance-based program that furnishes standardized policies, doctrines, and terminologies for the design, development, performance, and evaluation of homeland security exercises. The National Exercise Program (NEP) uses the HSEEP as a common methodology for exercises. The HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

Interagency Board (IAB). A working group established by the NCC to review and recommend validation of potential PMEFs submitted by agencies for submission to the NCC for final approval.

Interoperability. Interoperability has two meanings: (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies, and to use the services so exchanged so that these organizations can operate together effectively; (2) A condition that is realized among electronic communications operating systems or grids and/or among individual electronic communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

Interoperable Communications. Communications that provide the capability to perform essential functions, in conjunction with other agencies, under all conditions.

Leadership. The senior decisionmakers who have been elected (e.g., the President, State governors) or designated (e.g., Cabinet Secretaries, chief executive officers) to head a branch of Government or other organization.

Memorandum of Agreement/Memorandum of Understanding (MOA/MOU). Written agreements between departments/agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Mission Essential Functions (MEFs). The limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Multi-Year Strategy and Program Management Plan. A process that ensures the maintenance and continued viability of continuity plans.

National Communications System (NCS). A system governed by Executive Order 12472 and comprised of the telecommunications assets of 24 Departments and Agencies. DHS serves as the Executive Agent for the NCS, which is responsible for assisting the President, the National Security Council, the Director of OSTP, and the Director of OMB in (1) the exercise of telecommunications functions and their associated responsibilities and (2) the coordination of planning for providing the Federal Government, under all circumstances (including crises and emergencies, attacks, and recovery and reconstitution from those events), with the requisite national security and emergency preparedness communications resources.

National Continuity Policy. It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. (NSPD 51/HSPD 20, National Continuity Policy)

National Essential Functions (NEFs). The eight functions that the President and the Nation's leadership will focus on to lead and sustain the Nation during a catastrophic emergency; NEFs, therefore, must be supported by COOP and COG capabilities.

National Incident Management System (NIMS). HSPD-5 directed the Secretary of Homeland Security to develop and administer NIMS to integrate effective practices in emergency preparedness and response into a comprehensive national framework for incident management. NIMS will enable responders at all levels to work together more effectively to manage domestic incidents no matter what their cause, size, or complexity. The benefits of NIMS include a unified approach to incident management, standardized command and management structures, and an emphasis on preparedness, mutual aid, and resource management.

National Infrastructure Coordinating Center (NICC). A DHS entity, which operates 24 hours a day, seven days a week, to maintain operational and situational awareness of the Nation's critical infrastructure and key resources, and to provide a process and mechanism for coordination and information sharing with government and industry partners.

Normal operations. Generally and collectively, "normal operations" refers to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include day to day tasks, planning, and execution of tasks.

National Response Framework (NRF). A guide for conducting comprehensive, national, all-hazard incident management. The NRF incorporates public and private sector participation at all levels, from Federal agencies to the State and community level, and also emphasizes the importance of personal preparedness by individuals and their families.

Occupant Emergency Plan (OEP). A short-term emergency response program that establishes procedures for safeguarding lives and property.

Orders of Succession. Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Plan. A proposed or intended method of getting from one set of circumstances to another. A plan is often used to move from the present situation towards the achievement of one or more objectives or goals.

Program. A group of related initiatives managed in a coordinated way, so as to obtain a level of control and benefits that would not be possible from the individual management of the initiatives. Programs may include elements of related work outside the scope of the discrete initiatives in the program.

Primary Mission Essential Functions (PMEFs). Those department and agency Mission Essential Functions, validated by the NCC, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days, or until normal operations can be resumed.

Reconstitution. The process by which surviving and/or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

Recovery. The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.

Rights and Interests Records. Records that are necessary to protect the legal and financial rights of both the Federal Government and the persons who are affected by its actions.

Risk Analysis. The process by which risks are identified and evaluated.

Risk Assessment. The identification and assessment of hazards.

Risk Management. The process of identifying, controlling, and minimizing the impact of events whose consequences are or may be unknown, or events that are themselves fraught with uncertainty.

Survivable Communications. The establishment and maintenance of an assured end-to-end communications path during all phases of an all-hazard event.

Tabletop Exercise (TTX). A tabletop exercise involves key personnel discussing simulated scenarios in an informal setting.

Telecommuting Locations. Those locations equipped with computers and telephones that enable employees to work at home or at a location closer to their home than their main office.

Telework. The ability to work at a location other than the official duty station to perform work or emergency duties. This may include, but is not limited to, using portable computers, personal computers, high-speed telecommunications links, and mobile communications devices.

Test, Training, and Exercise (TT&E). Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity event.

Virtual Offices. An environment where employees are not collocated and rely exclusively on information technologies to interact and conduct their work across distance from multiple geographic locations.

Vital Records. Electronic and hardcopy documents, references, and records to support essential functions during a continuity event. The two basic categories of vital records are (1) emergency operating records and (2) rights and interests records.

Work-at-Home. When employees carry out their work duties at their residence rather than their official duty station.

Appendix B: Continuity Plan Template Instructions

CONTINUITY PLAN TEMPLATE

The purpose of this Continuity Plan Template is to provide guidance and sample information for the development of continuity plans and programs in accordance with Federal Continuity Directives (FCDs) 1 and 2 for the Federal executive branch. Continuity planning facilitates the performance of executive branch essential functions during all-hazards emergencies or other situations that may disrupt normal operations.

This template follows the traditional functional Emergency Operations Plan format detailed in FEMA's National Preparedness Directorate's Comprehensive Preparedness Guide 101, *Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans*, dated March 2009. By using this planning template, agencies will address each of the elements and requirements found in FCDs 1 and 2. Use of this template is voluntary, and organizations are encouraged to tailor continuity plan development to meet their own needs and requirements. This template is organized in a flexible format so that organizations may choose to use all portions or only certain sections of the template to build or improve their plan. However, if Federal executive branch organizations choose not to use this template, they must ensure their continuity plans meet the requirements set forth in FCDs 1 and 2.

The provisions of this template are applicable at all levels of Federal executive branch organizations, regardless of their location, and are also useful for State, local, territorial and tribal governments and the private sector.

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BASIC PLAN

The Basic Plan provides an overview of the organization's approach to continuity of operations. It details continuity and organization policies, describes the organization, and assigns tasks. The plan elements listed in this chapter will provide a solid foundation for the development of supporting annexes.

I. PROMULGATION STATEMENT

Promulgation is the process that officially announces/declares a plan. It gives the plan official status and gives both the authority and the responsibility to organizations to perform their tasks. The promulgation statement should briefly outline the organization and content of the continuity of operations plan and describe what it is, who it affects, and the circumstances under which it should be executed. The agency head, or a designee, must approve the continuity of operations plan. The promulgation document enters the plan "in force." Sample text for this section includes:

The **[Organization Name]**'s mission is to **[enter mission statement]**. To accomplish this mission, **[Organization Name]** must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the **[Organization Name]** Continuity of Operations Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

Key **[Organization Name]** personnel who are relocated under this plan are collectively known as the **[Insert name of group, such as Emergency Relocation Group]**. Upon plan activation, these members will deploy to **[insert continuity facility name]**. Upon arrival, continuity personnel must establish an operational capability and perform essential functions within 12 hours from the time of the activation of the Continuity Plan, for up to a 30-day period or until normal operations can be resumed.

This plan has been developed in accordance with guidance in Executive Order (EO) 12656, *Assignment of Emergency Preparedness Responsibilities*; National Security Presidential Directive – 51/Homeland Security Presidential Directive – 20, *National Continuity Policy*; Homeland Security Council, *National Continuity Policy Implementation Plan*; Federal Continuity Directive (FCD) 1, *Federal Executive Branch National Continuity Program and Requirements*, February 2008; **[Organization Name]** Management Directive **[enter Directive number and title]**; and other related Directives and guidance.

[Organization Head signs here]
[Enter Organization Head's name here]
[Enter Organization Head's title here]
[Enter Organization Name here]

II. RECORD OF CHANGES

When changes are made to the continuity plan outside the official cycle of plan review, coordination, and update, planners should track and record the changes using a record of changes table. The record of changes will contain, at a minimum, a change number, the date of the change, the name of the person who made the change, and a description of the change.

SAMPLE: Document Change Table

The following table shows an example of how to track plan changes.

Change Number	Section	Date of Change	Individual Making Change	Description of Change

III. RECORD OF DISTRIBUTION

The record of distribution, usually in table format, indicates the title and the name of the person receiving the plan, the agency to which the receiver belongs, the date of delivery, the method of delivery, and the number of copies delivered. The record of distribution can be used to verify that tasked individuals and organizations have acknowledged their receipt, review, and/or acceptance of the plan.

SAMPLE: Document Transmittal Record

The following table shows an example of a record of distribution.

Date of Delivery	Number of Copies Delivered	Method of Delivery	Name, Title, and Organization of Receiver

IV. PURPOSE, SCOPE, SITUATIONS, AND ASSUMPTIONS

A. PURPOSE

The introduction to the continuity of operations plan should explain the importance of continuity of operations planning to the organization and why the organization is developing a continuity of operations plan. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the

importance of a continuity of operations capability for the organization. Sample text for this section includes:

The **[Organization Name]**'s mission is to **[enter mission statement]**. To accomplish this mission, **[Organization Name]** must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the **[Organization Name]** Continuity of Operations Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on **[Organization Name]** missions, personnel, and facilities.

The overall purpose of continuity of operations planning is to ensure the continuity of the National Essential Functions (NEFs) under all conditions. The current changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity of operations capabilities and plans that enable agencies to continue their essential functions across a spectrum of emergencies. These conditions, coupled with the potential for terrorist use of weapons of mass destruction, have increased the importance of having continuity programs that ensure continuity of essential government functions across the Federal Executive Branch.

B. SCOPE

This section describes the applicability of the plan to the organization as a whole, headquarters as well as subordinate activities, co-located and geographically dispersed, and to specific personnel groups in the organization. It should also include the scope of the plan. Ideally, plans should address the full spectrum of potential threats, crises, and emergencies (natural and man-made). Sample text for this section includes:

This Plan applies to the functions, operations, and resources necessary to ensure the continuation of **[Organization Name]**'s essential functions, in the event its normal operations at **[Name primary operating facility]** are disrupted or threatened with disruption. This plan applies to all **[Organization Name]** personnel. **[Organization Name]** staff must be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

This document ensures **[Organization Name]** is capable of conducting its essential missions and functions under all threats and conditions, with or without warning.

C. SITUATION OVERVIEW

The situation section characterizes the "planning environment," making it clear why a continuity of operations plan is necessary. In this section, organizations should reference their risk assessment to summarize the hazards faced by their organization and the relative probability and impact of the hazards. Sample text for this section includes:

According to NSPD 51/HSPD 20, it is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations

and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions. Continuity requirements shall be incorporated into daily operations of all executive departments and agencies.

Further, continuity planning must be based on the assumption that organizations will not receive warning of an impending emergency. As a result, a risk assessment is essential to focusing continuity planning. Risk-specific appendices that address the results of the **[Organization Name]** risk assessment are found later in the plan.

The **[Organization Name]** continuity facilities were selected following an all-hazards risk assessment of facilities for continuity operations use. The **[Organization Name]** risk assessment is found at **[insert document name and location or insert risk assessment information in this section of the plan]**. This risk assessment addresses the following for each continuity facility:

- Identification of all hazards
- A vulnerability assessment to determine the effects of all hazards
- A cost-benefit analysis of implementing risk mitigation, prevention, or control measures
- A formal analysis by management of acceptable risk
- Sufficient distance between each facility location or threatened area and other facilities or locations that are potential sources of disruptions or threats
- Sufficient levels of physical security required to protect against identified threats
- Sufficient levels of information security required to protect against identified threats

Further, **[Organization Name]** has evaluated its daily operating facilities in accordance with Interagency Security Commission Standards or applicable organization standards. This evaluation is found at **[insert document name or location]**.

D. PLANNING ASSUMPTIONS

This section should briefly describe the layout of the continuity of operations plan and familiarize the readers with underlying assumptions made during the planning process. Sample text for this section includes:

This Continuity Plan is based on the following assumptions:

- An emergency condition may require the relocation of **[Organization Name]**'s Emergency Relocation Group (ERG) members to the continuity facility at **[continuity facility name]**
- The **[continuity facility name]** will support ERG members and the continuation of **[Organization Name]** essential functions by available communications and information systems within 12 hours or less from the time the Continuity of Operations Plan is activated, for potentially up to a 30-day period or until normal operations can be resumed

- **[Organization Name]** regional operations are unaffected and available to support actions directed by the **[title of organization head]** or his successor. However, in the event that ERG deployment is not feasible due to the loss of personnel, the **[Organization Name]** will devolve to **[list devolution office/region]**
- **[Insert additional assumptions here]**

E. OBJECTIVES

All plans and procedures should list the objectives that the plans are designed to meet. Continuity planning objectives are pre-identified in Federal Continuity Directive 1. Sample text for this section includes:

- The continuity planning objectives that all Federal Executive Branch departments and agencies are required to meet are identified in Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated February 2008.
- The **[Organization Name]** continuity objectives are listed below:
 - (1) Ensure that **[Organization Name]** can perform its Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), if applicable, under all conditions
 - (2) Reduce the loss of life and minimize property damage and loss
 - (3) Execute a successful order of succession with accompanying authorities in the event a disruption renders **[Organization Name]** leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of the office
 - (4) Reduce or mitigate disruptions to operations
 - (5) Ensure that **[Organization Name]** has facilities where it can continue to perform its MEFs and PMEFS, as appropriate, during a continuity event
 - (6) Protect essential facilities, equipment, records, and other assets, in the event of a disruption
 - (7) Achieve **[Organization Name]**'s timely and orderly recovery and reconstitution from an emergency
 - (8) Ensure and validate continuity readiness through a dynamic and integrated continuity test, training, and exercise program and operational capability

F. SECURITY AND PRIVACY STATEMENT

This section details the classification of the Continuity Plan. At a minimum, agencies should classify their plan as “For Official Use Only,” as continuity plans and procedures are sensitive, organization-specific documents. Further, if your continuity plan includes a roster of continuity personnel that includes personal information, such as telephone numbers, that information is protected under the Privacy Act of 1974. Organizations should consult with their Office of Security, or similar office, to ensure their continuity plans and procedures are properly classified and marked. This section should also contain dissemination instructions, including to whom and via what means the agency will disseminate the plan. Sample text for this section includes:

This document is **[insert classification information here, e.g. For Official Use Only]**. Portions of this Plan contain information that raises personal privacy or other concerns, and those portions may be exempt from mandatory disclosure under the Freedom of Information Act (see 5 United States Code §552, 41 Code of Federal Regulations Part 105-60). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with **[insert security reference document]** and is not to be released to the public or other personnel who do not have a valid “need to know” without prior approval of **[insert title of approving authority]**.

Some of the information in this Plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of **[Organization Name]** or otherwise impair its ability to carry out essential functions. Distribution of the Continuity plan in whole or in part is limited to those personnel who need to know the information in order to successfully implement the plan.

[Organization Name, office name] will distribute copies of the Continuity Plan on a need to know basis. **[Insert procedures for distributing the plan to ERG members and all personnel, e.g. via hard or electronic copy or posting on internal websites]**. In addition, copies of the plan will be distributed to other organizations as necessary to promote information sharing and facilitate a coordinated interagency continuity effort. Further distribution of the plan, in hardcopy or electronic form, is not allowed without approval from **[insert office or position title]**. **[Organization Name, office name]** will distribute updated versions of the Continuity Plan annually or as critical changes occur.

V. CONCEPT OF OPERATIONS

This section will explain how the organization will implement its Continuity of Operations Plan, and specifically, how it plans to address each critical continuity of operations element. This section should be separated into four phases: readiness and preparedness, activation and relocation, continuity facility operations, and reconstitution. Devolution planning strongly correlates in each phase, and is also addressed in this section.

A. PHASE I: READINESS AND PREPAREDNESS

Readiness is the ability of an organization to respond to a continuity event. This phase includes all agency continuity readiness and preparedness activities. Organizations should only include those readiness and preparedness activities and systems that are applicable to their plan. Sample text for this section includes:

[**Organization Name**] participates in the full spectrum of readiness and preparedness activities to ensure its personnel can continue essential functions in an all-hazard risk environment. [**Organization Name**] readiness activities are divided into two key areas:

- Organization readiness and preparedness
- Staff readiness and preparedness

Organization Readiness and Preparedness

[**Organization Name**] preparedness incorporates several key components. Two major components of readiness are the Continuity of Government Conditions (COGCON), for organizations in the National Capital Region, and the DHS Homeland Security Advisory System (HSAS). [**Organization Name**] uses other warning and threat systems, which include [**list threat and warning systems here**].

COGCON Procedures

The [**Organization Name**] has established internal plans and procedures for executing changes to the COGCON level, if applicable. In addition to the items set forth in Annex M and N of FCD 1, [**Organization Name**] has identified the following additional activities to undertake at each COGCON level, if applicable.

COGCON Level	Activity	Frequency
Level 4	• [Insert additional agency-specific Level 4 activities here]	[Insert frequency]
Level 3	• [Insert additional agency-specific Level 3 activities here]	[Insert frequency]
Level 2	• [Insert additional agency-specific Level 2 activities here]	[Insert frequency]
Level 1	• [Insert additional agency-specific Level 1 activities here]	[Insert frequency]

HSAS Procedures

Further, [**Organization Name**] has established internal plans and procedures for executing changes to the HSAS level. [**Organization Name**] has identified the following activities to undertake at each HSAS level.

HSPD-3 Threat Condition Level	HSPD-3 Threat Condition Criteria	[Organization Name] Specific Response
Green (Low)	There is a low risk of terrorist attacks.	The continuity plan is not activated.
Blue (Guarded)	There is a general risk of terrorist attacks.	The continuity plan is not activated.
Yellow (Elevated)	There is a significant risk of terrorist attacks.	[Insert action here, i.e. placing continuity personnel on alert if there is a specific threat to the region].
Orange (High)	There is a high risk of terrorist attacks.	[Insert action here, i.e. placing continuity personnel on alert if there is a non-specific threat and/or activating the continuity plan if there is a specific threat to the region].
Red (Severe)	There is a severe risk of terrorist attacks.	[Insert action here, i.e. activating the continuity plan].

Other Warning and Threat System Procedures

[Insert any additional organization readiness and preparedness measures tied to other warning and threat systems here].

Staff Readiness and Preparedness

[Organization Name] personnel must also prepare for a continuity event. **[Organization Name]** personnel should plan in advance what to do in an emergency and should develop a Family Support Plan to increase personal and family preparedness. To develop your Family Support Plan, use the templates available at <http://www.ready.gov/>. This site includes a “Get Ready Now” pamphlet, which explains the importance of planning and provides a template that you and your family can use to develop your specific plan. If you need assistance in creating your family support plan, please contact **[insert office, position title, and contact information]**.

[Organization Name] continuity personnel have the responsibility to create and maintain drive-away kits. Continuity personnel are responsible for carrying the kits to the continuity facility or pre-storing the kits at the continuity site. **[Organization Name]** has identified what these kits should contain in the following table on **[insert page number here]**. In order to maintain currency of drive-away kits, **[Organization Name]** has established procedures for updating the kits. **[Insert procedures here, such as having continuity personnel bring kits on annual exercises, distributing quarterly update materials, or establishing an acquisition program to regularly replace agency-supplied emergency items]**.

SAMPLE: Drive Away Kit

The following table shows possible items to recommend for continuity drive-away kits.

Drive Away Kit	
<ul style="list-style-type: none">• Identification and charge cards<ul style="list-style-type: none">○ Government identification card○ Drivers license○ Government travel card○ Health insurance card○ Personal charge card• Communication equipment<ul style="list-style-type: none">○ Pager/BlackBerry○ Government cell phone○ Personal cell phone○ Government Emergency Telephone Service card• Hand-carried vital records• Directions to continuity facility• Maps of surrounding area• Business and leisure clothing• Continuity plan• Flashlight	<ul style="list-style-type: none">• Business and personal contact numbers<ul style="list-style-type: none">○ Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)• Toiletries• Chargers/Extra Batteries for phones, GPS, and laptop• Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)• Medical needs<ul style="list-style-type: none">○ Insurance information○ List of allergies/blood type○ Hearing aids and extra batteries○ Glasses and contact lenses○ Extra pair of eyeglasses/contact lenses○ Prescription drugs (30-day supply)○ Over-the-counter medications, dietary supplements• [Insert additional recommended items]

In addition, **[Organization Name]** conducts the following continuity readiness and preparedness activities: **[insert any additional organization readiness and preparedness measures for organization personnel here, such as orientation training, brown bags, or working lunch informational sessions, senior leadership addresses to the organization regarding continuity, etc.]**.

B. PHASE II: ACTIVATION AND RELOCATION

This section should explain continuity of operations plan activation procedures and relocation procedures from the primary facility to the continuity facility. The plan must provide a process or methodology for attaining operational capability at the continuity site(s) with minimal disruption to operations within 12 hours of plan activation. This section should also address procedures and guidance for non-relocating personnel. Sample text for this section includes:

To ensure the ability to attain operational capability at continuity sites and with minimal disruption to operations, **[Organization Name]** has developed detailed activation and relocation plans, which are captured in the following sections.

Decision Process Matrix

Based on the type and severity of the emergency situation, the **[Organization Name]** Continuity Plan may be activated by one of the following methods:

- (1) The President may initiate Federal Executive Branch continuity activation

- (2) The **[Organization Head]**, or a designated successor, may initiate the Continuity Plan activation for the entire organization, based on an emergency or threat directed at the organization
- (3) **[Insert additional activation measures here]**

Continuity Plan activation and relocation are scenario-driven processes that allow flexible and scalable responses to the full spectrum of emergencies and other events that could disrupt operations with or without warning during duty and non-duty hours. Continuity Plan activation is not required for all emergencies and disruptive situations, since other actions may be deemed appropriate. The decision to activate the **[Organization Name]** Continuity Plan and corresponding actions to be taken are tailored for the situation, based upon projected or actual impact and severity, that may occur with or without warning. Decision-makers may use the below decision matrix to assist in the decision to activate the Continuity Plan.

SAMPLE: Decision Matrix

Decision Matrix for Continuity Plan Implementation		
	Duty Hours	Non-Duty Hours
Event With Warning	<ul style="list-style-type: none"> • Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Are employees unsafe remaining in the facility and/or area? • [Insert additional points here] 	<ul style="list-style-type: none"> • Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Who should be notified of the threat? • Is it safe for employees to return to work the next day? • [Insert additional points here]
Event Without Warning	<ul style="list-style-type: none"> • Is the facility affected? • Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? • What are instructions from first responders? • How soon must the organization be operational? • [Insert additional points here] 	<ul style="list-style-type: none"> • Is the facility affected? • What are instructions from first responders? • How soon must the organization be operational? • [Insert additional points here]

As the decision authority, the **[Organization Head]** will be kept informed of the threat environment using all available means, including official government intelligence reports, national/local reporting channels, and news media. The **[Organization Head]** will evaluate all available information relating to:

- (1) Direction and guidance from higher authorities
- (2) The health and safety of personnel
- (3) The ability to execute essential functions

- (4) Changes in readiness or advisory levels
- (5) Intelligence reports
- (6) The potential or actual effects on communication systems, information systems, office facilities, and other vital equipment
- (7) The expected duration of the emergency situation
- (8) **[Insert other agency considerations here]**

Alert and Notification Procedures

[Organization Name] maintains plans and procedures for communicating and coordinating activities with personnel before, during, and after a continuity event.

Prior to an event, personnel in **[Organization Name]** must monitor advisory information, including the DHS Homeland Security Advisory System, the Federal Government Response Stages for Pandemic Influenza, intelligence, and **[insert any other applicable systems]**. In the event normal operations are interrupted or if an incident appears imminent, **[Organization Name]** will take the following steps to communicate the organization's operating status with all staff:

- (1) The **[Organization Head]** or designated successor will notify **[insert office/title]** of the emergency requiring continuity activation
- (2) **[Insert notification steps here. Include methods of notification, name/group who commences notification, and required responses of all organization personnel upon notification. If the organization maintains an advance team to prepare the continuity site for arrival, include here]**
- (3) **[Organization Name]** personnel will notify family members, next of kin, and/or emergency contacts of the continuity plan activation

Upon the decision to activate the continuity plan or to reconstitute following an event, **[Organization Name]** will notify all **[Organization Name]** personnel, as well as affected and interdependent entities with information regarding continuity activation and relocation status, operational and communication status, and the anticipated duration of relocation.

These entities include:

- Continuity facilities and on-site support teams with information regarding continuity activation and relocation status and the anticipated duration of relocation
- FEMA Operations Center (FOC) via the RRS or telephone (540.665.6100 or 800.634.7084) and other applicable operations centers with information regarding continuity activation and relocation status, the **[Organization Name]** alternate location, operational and communication status, and anticipated duration of relocation
- All **[Organization Name]** employees, both continuity personnel and non-deployed personnel with instructions and guidance regarding the continuity activation and relocation
- Organization headquarters, if a subordinate organization
- Subordinate organizations, if an organization headquarters

- **[Insert other points-of-contact, adjacent agencies, customers, stakeholders, and interdependent agencies here]**

Relocation Process

Following activation of the plan and notification of personnel, **[Organization Name]** must move personnel and vital records to a continuity facility. Upon activation, **[Organization Name]** continuity personnel deploy to the assigned continuity facility to perform **[Organization Name]** essential functions and other continuity tasks. A map and directions to the continuity facility is found **[insert location within the plan]**.

Emergency procedures during duty hours with or without a warning are as follows:

- Continuity personnel, including advance team personnel, if applicable, will depart to their designated continuity facility from the primary operating facility or their current location using **[insert method of transportation, such as privately owned vehicles, buses, etc here. Include any provisions made regarding the transport of disabled continuity employees]**
- Individuals who are not continuity personnel present at the primary operating facility or another location at the time of an emergency notification will receive instructions from **[insert authority]**. In most scenarios, staff members will be directed to proceed to their homes or to other **[Organization Name]** facilities to wait for further guidance.
- At the time of notification, information will be provided on routes to use during departure from the primary operating facility, if available, or other appropriate safety precautions

Emergency procedures during non-duty hours with or without a warning are as follows:

- Advance team members, if applicable, will deploy to their assigned continuity facility from his/her current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees] at [insert time here, such as immediately, the time specified during notification, etc]**
- Each continuity member will depart to his/her assigned continuity facility from his/her current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees] at [insert time here, such as immediately, the time specified during notification, etc]**.
- Individuals who are not continuity personnel will remain at his or her residence to wait for further instructions.

Personnel not identified as continuity staff may be required to replace or augment the identified continuity personnel during activation. These activities will be coordinated by **[insert office/title]** with the staff on a case-by-case basis. Individuals who are not identified as continuity personnel will remain available to replace or augment continuity members, as required.

[Organization Name title/authority] will direct **[Organization Name]** personnel who are not designated as continuity personnel to move to **[insert location, such as another facility, duty station, or home]** until further notice.

In the event of an activation of the Continuity Plan, **[Organization Name]** may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. **[Insert office/title/authority]** maintains the authority for emergency procurement. Instructions for these actions are found **[insert instructions below or insert location of instructions if found in another document]**.

C. PHASE III: CONTINUITY OPERATIONS

The Phase III section should identify initial arrival procedures as well as operational procedures for the continuation of essential functions. Sample text for this section includes:

Upon activation of the Continuity of Operations Plan, **[Organization Name]** will continue to operate at its primary operating facility until ordered to cease operations by **[insert authority]** using **[insert method of notification here]**. At that time, essential functions will transfer to the continuity facility. **[Organization Name]** must ensure that the continuity plan can become operational within the minimal acceptable period for MEF disruption, but in all cases within 12 hours of plan activation.

The advance team will arrive at the continuity facility first to prepare the site for the arrival of the continuity personnel. Upon arrival at the continuity facility, the advance team will:

- Ensure infrastructure systems, such as power and HVAC are functional
- Prepare check-in duty stations for ERG arrival
- Field telephone inquiries from ERG and non-ERG staff
- **[Insert additional tasks here]**

As continuity personnel arrive at the continuity facility, **[insert office/title]** will in-process the staff to ensure accountability. In-processing procedures are conducted in **[insert exact location of in-processing]** and will consist of the following steps: **[insert steps to in-process continuity personnel here, including how to obtain the roster of continuity personnel and how the organization will reach individuals who have not in-processed for accountability, etc.]**. In addition, the office will identify all organization leadership available at the continuity facility.

Upon arrival at the continuity facility, **[Organization Name]** continuity personnel will:

- Report immediately to **[insert location]** for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace as identified in **[insert location]** or as otherwise notified during the activation process
- Retrieve pre-positioned information and activate specialized systems or equipment
- Monitor the status of **[Organization Name]** personnel and resources
- Continue **[Organization Name]** essential functions

- Prepare and disseminate instructions and reports, as required
- Comply with any additional continuity reporting requirements with the FOC
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information
- **[Insert additional tasks here]**

A significant requirement of continuity personnel is to account for all **[Organization Name]** personnel. **[Organization Name]** will use the following processes to account for all personnel:

- **[Insert processes here, such as using call down telephone trees, a 1-800 number, an alert and notification system, a website, etc. Include how will the organization and what office/title is responsible for communicating with personnel who are unaccounted for]**

During continuity operations, **[Organization Name]** may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. **[Insert office/title/authority]** maintains the authority for emergency acquisition. Instructions for these actions are found **[insert instructions below or insert location of instructions if found in another document]**.

D. PHASE IV: RECONSTITUTION OPERATIONS

Organizations must identify and outline a plan to return to normal operations once organization heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated. Sample text for this section includes:

Within **[insert time period]** of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover the **[Organization Name]** primary operating facility after receiving approval from the appropriate local, State, and Federal law enforcement and emergency services:

- **[Insert title or titles]** will serve as the Reconstitution Manager for all phases of the reconstitution process
- Each **[Organization Name]** subcomponent will designate a reconstitution point-of-contact to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution and provide names of reconstitution point-of-contact to **[insert title/office]** within **[insert number]** hours of the Continuity Plan activation

During continuity operations, **[insert office/title]** must access the status of the facilities affected by the event by **[insert methods here]**. Upon obtaining the status of the facility, **[Organization Name]** will determine how much time is needed to repair the affected facility and/or acquire a new facility. This determination is made in conjunction with **[insert offices and organizations here]**. Should **[Organization Name]** decide to repair the affected facility, **[insert office/title]** has the responsibility of supervising the repair process and must notify **[insert office/title]** of the status of repairs, including estimates of when the repairs will be completed.

Reconstitution procedures will commence when the **[Organization Head]** or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity of Operations Plan. Once the appropriate **[Organization Name]** authority has made this determination in coordination with other Federal and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue to operate from the continuity facility
- Reconstitute the **[Organization Name]** primary operating facility and begin an orderly return to the facility
- Begin to establish a reconstituted **[Organization Name]** in some other facility in the metro area or at another designated location
- **[Insert any additional organization options here]**

Prior to relocating to the current primary operating facility or another facility, **[insert office/title]** will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, **[insert office/title]** will verify that all systems, communications, and other required capabilities are available and operational and that **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility.

Upon a decision by the **[Organization Head]** or other authorized person that the **[Organization Name]** primary operating facility can be reoccupied or that **[Organization Name]** will re-establish itself in a different facility:

- The **[Organization Name]** Continuity Coordinator or other authorized individual must notify the FEMA Operations Center (FOC) via telephone (540.665.6100 or 800.634.7084) or RRS, when available, and other applicable operations centers with information regarding continuity activation and relocation status, the **[Organization Name]** alternate location, operational and communication status, and anticipated duration of relocation. **[Organization Name]** shall submit a Continuity Status Reporting Form, only if it contains more information beyond what has been reported, to fema-ncp-coop@dhs.gov, by fax to 940.323.2822, or **[insert contact information for appropriate status reporting procedures here]** using the form and procedures provided by FEMA's National Continuity Programs Directorate or other specified continuity point-of-contact.
- **[Insert office/title]** will develop space allocation and facility requirements
- **[Insert office/title]** will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using **[insert method of communication here]**
- **[Insert office/title]** will coordinate with the General Services Administration (GSA) and/or other applicable facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable
- **[Insert office/title]** will develop procedures, as necessary, for restructuring staff

- **[Insert any additional activities associated with planning for reconstitution here]**

Upon verification that the required capabilities are available and operational and that **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility, **[insert office/title]** will begin supervising a return of personnel, equipment, and documents to the normal operating facility or a move to another temporary or permanent primary operating facility. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined below; **[Organization Name]** will begin development of specialized return plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert priority-based phase-down and return plan here]**

[Organization Name] will continue to operate at its continuity facility until ordered to cease operations by **[insert authority]** using **[insert method of notification here]**. At that time, essential functions will transfer to the primary operating facility. **[Organization Name]** has developed plans to instruct personnel on how to resume normal operations as outlined below; **[Organization Name]** will begin development of specialized resumption plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert normal operations resumption plan here]**

[Insert office/title] will identify any records affected by the incident by **[insert identification processes or contacts here]**. In addition, **[insert office/title]** will effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, using the plan outlined below; **[Organization Name]** will begin development of specialized vital records transition and recovery plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert vital records transition and recovery plan here].**

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining **[Organization Name]** staff at the continuity facility or devolution site will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. **[Insert title or titles]** shall oversee the orderly transition from the continuity facility of all **[Organization Name]** functions, personnel, equipment, and records to a new or restored primary operating facility. **[Insert office/title]** is responsible for developing a process for receiving and processing employee claims during the continuity event, including processing human capital claims (including, workmans compensation for injuries, overtime pay, etc) and replacing lost or broken equipment.

[Organization Name] will conduct an After Action Review (AAR) once it is back in the primary operating facility or established in a new primary operating facility. **[Insert office/title]** has the responsibility for initiating and completing the AAR. All offices within **[Organization Name]** will have the opportunity to provide input to the AAR. This AAR will study the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in the **[Organization Name]** corrective action program

(CAP), and then develop a remedial action plan as soon as possible after the reconstitution. **[Insert office/title]** has the responsibility for documenting areas for improvement in the CAP and developing a remedial action plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with **[insert office]** to ensure an effective transition or recovery of vital records and databases and other records that had not been designated as vital records. AAR and CAP documentation are maintained by **[insert office]** and are found at **[insert location]**.

For additional information on reconstitution, see Annex M of FCD 1.

E. DEVOLUTION OF CONTROL AND DIRECTION

Devolution planning supports overall continuity planning and addresses the full spectrum of threats and all-hazards emergency events that may render an organization's leadership or staff unavailable to support, or incapable of supporting, the execution of the organization's essential functions from either its primary location or its continuity locations. For organizations that use a separate devolution plan from the continuity plan, include the baseline information in this section in the organization continuity plan and include a reference to the devolution plan in the appropriate places within this section. Sample text for this section includes:

[Organization Name] is prepared to transfer all of their essential functions and responsibilities to personnel at a different location should emergency events render leadership or staff unavailable to support the execution of **[Organization Name]** essential functions. If deployment of continuity personnel is not feasible due to the unavailability of personnel, temporary leadership of **[Organization Name]** will devolve to **[insert office name and location]**.

[Insert office/title] maintains responsibility for ensuring the currency of the **[Organization Name]** devolution plan. The **[Organization Name]** devolution plan:

- (1) Includes the elements of a viable continuity capability: program plans and procedures, budgeting and acquisitions, essential functions, orders of succession and delegations of authority specific to the devolution site, interoperable communications, vital records management, staff, test, training, and exercise (TT&E), and reconstitution. The **[Organization Name]** devolution plan is located **[insert location, insert devolution plan below, or insert the applicable plan appendix for devolution]**.
- (2) Identifies prioritized essential functions, defines tasks that support those essential functions, and determines the necessary resources to facilitate those functions. The list of prioritized essential functions for devolution is found at **[insert location]**.
- (3) Includes a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and who will have the authority to perform essential functions and activities when the devolution option of the continuity plan is activated. The devolution personnel roster is found at **[insert location]**.
- (4) Identifies what would likely activate or “trigger” the devolution option and specifies how and when direction and control of **[Organization Name]** operations will be

transferred to and from the devolution site. Devolution activation protocols or “triggers” are found [insert location or insert below].

- (5) Determines and lists or references the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of and performance of essential functions at the devolution site. The list of necessary resources for devolution is found at [insert location].
- (6) Establishes and maintains reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. The [insert office/title] is responsible for acquiring resources during a devolution situation. Acquisition processes and procedures are found [insert location].
- (7) Establishes and maintains a capability to restore or reconstitute [Organization Name] authorities to their pre-event status upon termination of devolution.

[Organization Name] conducts and documents annual training of devolution staff and a biennial exercise to ensure devolution capabilities are prepared and capable of performing essential functions. This documentation includes the dates of all TT&E events and names of participating staff. The [Organization Name] devolution TT&E documentation is maintained by [insert office/title] and is found at [insert location]. Further, the [Organization Name] CAP supports the devolution program. The [Organization Name] CAP is maintained by [insert office/title] and CAP documentation is found at [insert location].

For additional information on devolution, see Annex L of FCD 1. FEMA maintains a separate Devolution of Control and Direction template. This template is compliant with FCD 1 and provides additional details on the subject matter. The template is found at: <http://www.fema.gov/government/coop/>.

VI. ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

This section should include additional delineation of continuity of operations responsibilities of each key staff position. Sample text for this section includes:

Key staff positions within [Organization Name], to include individual continuity members, those identified in the order of succession and delegation of authority, the [Organization Name] Continuity Coordinator, continuity managers, and others possess additional continuity responsibilities. The responsibilities of these key continuity personnel are delineated [insert location].

SAMPLE

The following table shows examples of some continuity of operations responsibilities.

Position	Responsibilities
Director	<ul style="list-style-type: none"> • Provide strategic leadership and overarching policy direction for the continuity program • Implement the Continuity of Operations Plan when necessary, or when directed by higher authority • Update and promulgate orders of succession and delegations of authority • Ensure adequate funding is available for emergency operations • Ensure all organization components participate in continuity exercises • Update continuity of operations plan annually
Communications Specialist, Standards and Planning Division	<ul style="list-style-type: none"> • Update telephone rosters monthly • Conduct alert and notification tests
Records Specialist, Standards and Planning Division	<ul style="list-style-type: none"> • Review status of vital files, records, and databases
Training Specialist, Standards and Planning Division	<ul style="list-style-type: none"> • Develop and lead Continuity of Operations training • Plan Continuity of Operations exercises
Continuity Personnel	<ul style="list-style-type: none"> • Be prepared to deploy and support organization essential functions in the event of a Continuity Plan implementation • Provide current contact information to their manager • Be familiar with continuity planning and know individual roles and responsibilities in the event of continuity of operations plan activation • Participate in continuity training and exercises as directed • Have a telework agreement for this position, if applicable

VII. DIRECTION, CONTROL, AND COORDINATION

This section describes the framework for all direction, control, and coordination activities. This section also provides information on how the Plan fits into similar plans horizontally and how higher-level or subcomponent plans are expected to layer on the Plan vertically. Sample text for this section includes:

During an activation of the Continuity Plan, the **[Organization Head]** maintains responsibility for direction and control of **[Organization Name]**. Should the **[Organization Head]** become unavailable or incapacitated; the organization will follow the directions laid out in Annex V.A, *Orders of Succession*, and Annex V.B, *Delegations of Authority*.

The contents and procedures laid forth in this Continuity Plan are consistent with the direction found in Federal Continuity Directive 1. As a result, this Plan and its concepts are integrated horizontally with other Federal executive branch organizations. Further, the Plan is reviewed and vetted by **[insert internal organizations, such as Regional components, subcomponents, or organization headquarters]** to ensure vertical integration within **[Organization Name]**.

VIII. DISASTER INTELLIGENCE

This section describes the required critical or essential information common to all continuity events identified during the planning process. In general terms, it identifies the type of information needed, where it is expected to come from, who uses the information, how the information is shared, the format for providing the information, and any specific times the information is needed. Sample text for this section includes:

During a continuity event, **[Organization Name]** will require the collection and dissemination of critical information. While specific incidents may cause additional or specialized reporting requirements, the following table lists examples of the information that **[Organization Name]** must collect and report regardless of incident type during a continuity event.

SAMPLE

The following table shows examples of some disaster intelligence collection requirements.

Information Element	Specific Requirement	Responsible Element	Deliverables	When Needed	Distribution
Personnel Accountability	Account for all ERG and non-ERG employees Account for all contract personnel	Human Capital Division	Report Briefing	Status update hourly following Plan activation	[Organization Head]
Operational Status	Percent of ERG personnel arrived at site Ability to conduct each essential function Status of communications and IT systems	Continuity Manager Divisional representatives	Situation briefings Situation reports	NLT than 6 hours after plan activation, then hourly	[Organization Head]
Hazard Information	Threat details specific to the continuity facility	Response coordination center or emergency operations center	Situation briefings Situation reports	Two times per day at shift change	[All component heads]

IX. COMMUNICATIONS

The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal organization elements, other organizations, critical customers, and the public, during crisis and disaster conditions. Sample text for this section includes:

[Organization Name] has identified available and redundant critical communication systems that are located at the primary operating facility and continuity facility. Further, **[Organization Name]** maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. In addition, **[Organization Name]** maintains communications equipment for use by employees with disabilities and hearing impairment.

All **[Organization Name]** necessary and required communications and IT capabilities must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation.

Additional detailed information on **[Organization Name]** communications systems and requirements is found in Annex IV, *Continuity Communications*.

X. BUDGETING AND ACQUISITION

The budgeting and acquisition section should identify the people, communications, facilities, infrastructure, and transportation requirements, which are necessary to the successful implementation and management of an organization's continuity program. In addition, the organization must identify and provide funding and specific budgetary guidance and requirements for all levels of their organization, including subordinate components and regional and field-level offices. This section aligns with the Administration, Finance, and Logistics section of the Comprehensive Preparedness Guide 101. Sample text for this section includes:

[Organization Name] budgets for and acquires those capabilities that are essential to continuity. A copy of the continuity budget is found **[insert location, office]**. Within this budget, **[Organization Name]** budgets for continuity capabilities in accordance with National Security Presidential Directive (NSPD)-51/Homeland Security Presidential Directive (HSPD)-20 and National Communications System Directive 3-10 or other applicable directives and provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.

As part of the budget process, **[Organization Name]** uses a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources. The risk management methodology used is **[insert methodology here]** and a copy of the risk management documents can be found **[insert location, office]**.

[Organization Name] integrates the continuity budget with its multiyear strategy and program management plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the multiyear strategy and program management plan is found **[insert location]**.

For those contracts vital to the support of organization essential functions, **[Organization Name]** has ensured contractor statements of work include the provision to provide staffing, services, and necessary resources during emergency conditions. A list of vital contracts is found **[insert location]** and maintained by **[insert office/title]**. During an emergency situation, **[insert office/title]** is responsible for oversight and handling of emergency work by contractors.

For additional information on budgeting and acquisition, see Annex C of FCD 1.

XI. PLAN DEVELOPMENT AND MAINTENANCE

This section describes the process the department or agency uses to maintain a current plan. The section should identify who is responsible for plan currency, how often the agency will review and update the plan, and how coordination will occur. Sample text for this section includes:

The **[Organization Name, office, title]** is responsible for maintaining the **[Organization Name]** Continuity of Operations Plan.

This Continuity Plan, **[Organization Name]** essential functions, and supporting activities, will be reviewed by **[insert office name]** and updated annually from the date of publication as part of the annual maintenance of Continuity plans and procedures. **[Office Name]** is responsible for the annual plan review and update. In addition, the plan will be updated or added when there are significant organizational or procedural changes or other events that impact continuity processes or procedures. Comments or suggestions for improving this plan may be provided to **[Office Name]** at any time.

XII. AUTHORITIES AND REFERENCES

This section should cite a list of authorities and references that mandate the development of this continuity of operations plan, and provide guidance towards acquiring the requisite information contained in this continuity of operations plan.

Annex Q of the FCD 1 provides a list of authorities and references.

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FUNCTIONAL ANNEXES

The functional annexes add specific information and direction to the base plan. These annexes should clearly describe the policies, processes, roles, and responsibilities that organizations carry out before, during, and after any emergency. While the Basic Plan provides overarching information relevant to the continuity plan as a whole, these annexes focus on specific responsibilities, tasks, and operational actions that pertain to the elements of a viable continuity plan and program according to Federal Continuity Directives 1 and 2. These annexes also establish preparedness targets (e.g., training, exercises, equipment checks and maintenance) that facilitate achieving function-related goals and objectives during emergencies and disasters.

I. ESSENTIAL FUNCTIONS

All agencies must identify and prioritize their essential functions, which serve as the foundation for continuity planning. The essential functions section must include a list of the organization's prioritized Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEF), if applicable. The continuity of operations plan must identify the components, processes, and requirements that ensure the continued performance of the agency's MEFs and PMEFS.

Per FCD 2, the steps taken to identify MEFs and PMEFS include:

- 1. Conduct a MEF Business Process Analysis (BPA) to:
 - o Determine the MEFs that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency.*
 - o Identify and map the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent to the execution of each identified MEF.**
- 2. Identify how each MEF is performed and executed, using a business-process flow map.*
- 3. Identify internal and external interdependencies that are part of and/or influence each MEF business process.*
- 4. Identify those MEFs that provide vital interdependent support to a MEF performed by another agency or by an Emergency Support Function under the National Response Framework.*
- 5. Identify those MEFs that require vital support from another agency to ensure the execution of their mission and identify when and where the particular interdependency is executed within the BPA business-process flow. The organization must include considerations for the identified interdependencies, including when and where each interdependency would be executed.*
- 6. Validate and approve the identified MEFs and BPA analysis by each organization head.*
- 7. Once MEFs have been identified and analyzed using the BPA, the review process for identifying potential PMEFS can begin for those organizations to which applicable.*

8. *Identify potential PMEFs by completing the PMEF Screening Worksheet.*
9. *Prepare and submit, to the IAB, the PMEF Candidate Worksheet and PMEF Narrative Sheet for the identified potential PMEFs.*
10. *Once the IAB approves the organization's PMEF, the organization must complete a Business Impact Analysis (BIA) to assist in conducting the BIAs on each of their PMEFs, identifying threats or hazards and their possible impact on each potential PMEF and their associated NEF.*
11. *Once the BIA is completed the department or agency continuity coordinator reviews and validates the BIA by initializing the appropriate column of the BIA Worksheet.*

Sample text for this section includes:

A. IDENTIFICATION OF ESSENTIAL FUNCTIONS

[Organization Name] has completed the MEF/PMEF process as identified in FCD 2 to identify those functions that **[Organization Name]** must continue.

Government Functions

To identify, prioritize, and document essential functions, **[Organization Name]** first identified all government functions and missions and reviewed which functions were directed by applicable laws, presidential directives, executive orders, and other directives. **[Organization Name]** government functions are **[insert list of government functions or location of list]**.

Mission Essential Functions

If your organization has no MEFs, state so in this section and remove the sample text. Sample text for this section includes:

Upon identifying all government functions, **[Organization Name]** identified those functions that are MEFs and PMEFS. Mission Essential Functions are a limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Per FCD 2, **[Organization Name]** completed the following worksheets to identify and analyze MEFs. This documentation also identifies the components, processes, requirements, and interdependencies that ensured the continued performance of **[Organization Name]** MEFs.

- MEF Identification Worksheet #1. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- MEF Identification Worksheet #2. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- MEF Business Process Analysis (BPA) Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- MEF Business Process Elements Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.

[Organization Name] MEFs, as validated and approved by the **[enter organization head title]**, are as follows: **[insert list of MEFs here]**.

Primary Mission Essential Functions

If your organization has no PMEFS, state so in this section and remove the sample text. Sample text for this section includes:

Once MEFs were identified and analyzed, **[Organization Name]** began the planning process for identifying and documenting PMEFS. **[Organization Name]** PMEFS were identified through the analysis of the MEFs, were validated by the National Continuity

Coordinator (NCC), and must be performed in order to support the performance of the NEFs before, during, and in the aftermath of an emergency.

Per FCD 2, **[Organization Name]** completed the following worksheets to identify and analyze PMEFS. This documentation also identifies the components, processes, and requirements that ensured the continued performance of **[Organization Name]** PMEFS.

- Potential PMEF Screening Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.
- PMEF Candidate Worksheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**. This worksheet served as the basis for **[Organization Name]** PMEF Statements, which embody the specificity of the **[Organization Name]** mission and consists of PMEFS linked to NEF execution. The PMEF statement includes the organizational action or role required, conditions under which the function would be performed, the scope of operations, and standard of performance.
- Candidate PMEF Narrative Sheet. This worksheet is documented at **[insert location/document name]** and is maintained by **[insert office/title]**.

In order for a MEF to be considered a PMEF, the MEF must:

- Directly support a NEF
- Need to be continued uninterrupted or resumed within 12 hours, regardless of circumstance

[Organization Name] PMEFS, as approved by the NCC or other applicable senior officials for non-Federal and private sector entities, are as follows:

Primary Mission Essential Function	Associated National Essential Function

Upon approval of each PMEF by the NCC or other applicable senior officials for non-Federal and private sector entities, **[Organization Name]** conducted and documented a Business Impact Analysis (BIA) to determine the level of risk, recovery time, criticality, and required mitigation strategies. This **[Organization Name]** BIA is located **[insert location]** and maintained by **[insert office/title]**.

B. IDENTIFICATION OF CONTINUITY PERSONNEL

Once organization MEFs and PMEFS are identified, the organization must determine the personnel positions that are fully equipped and have the authority to perform these functions. Position titles are preferable as personnel change. However, once these positions are identified, the organization must establish and maintain point-of-contact rosters of trained continuity personnel attached to the applicable positions. Rosters, at a minimum, must include names and home, work, and cellular telephone numbers, as applicable. In addition, organizations should identify replacement personnel and

augmentees, as necessary. Organizations should consider maintaining this roster separate from the Continuity of Operations Plan or as an annex due to the need for constant revision and for privacy concerns. Sample text for this section includes:

In order to continue its government functions, MEFs, and PMEFs, **[Organization Name]** has determined the staff positions necessary to relocate under continuity plan activation. A copy of the current roster is found **[insert location]**. **[Insert office/title]** is responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

Each continuity member is selected by **[insert office/title]** based upon:

- The predetermined essential functions that must be performed, regardless of the operational status of the **[Organization Name]** primary operating facility
- The member’s knowledge and expertise in performing these essential functions
- The member’s ability to rapidly deploy to the relocation site in an emergency situation

SAMPLE

The following table shows an example of a partial continuity personnel roster.

Function	Title/ Position	Name	Telephone Numbers	Additional Information
Function #1: Approve and oversee cleanups of contaminated sites.	Division Head, Enforcement and Remediation Division	John Smith	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	<i>Alternate:</i> Deputy Division Head, Enforcement and Remediation Division	<i>Jane Doe</i>	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	Chief, Enforcement Branch	Sally Dune	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	<i>Alternate:</i> Deputy Chief, Enforcement Branch	<i>Jim Rich</i>	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses

For additional information on essential functions, see Annex D of FCD 1 or FCD 2. Worksheets presented in this section are found in the annexes of FCD 2. For additional information on continuity personnel rosters, see Annex J of FCD 1.

II. VITAL RECORDS MANAGEMENT

The identification, protection, and ready availability of vital records, databases, and hardcopy documents needed to support PMEFs and MEFs under the full spectrum of all-hazards emergencies are critical elements of a successful continuity plan and program. Sample text for this section includes:

“Vital records” refers to information systems and applications, electronic and hardcopy documents, references, and records, to include classified or sensitive data, needed to support PMEFs and MEFs during a continuity event. **[Organization Name]** has incorporated its vital records program into the overall continuity program, plans, and procedures.

[Organization Name]’s vital records program incorporates into the overall continuity plan with a clear authority to include:

- Policies
- Authorities
- Procedures
- The written designation of **[Organization Name]** vital records manager

[Organization Name]’s official vital records program:

- Identifies and protects those records that specify how an organization will operate in an emergency or disaster
- Identifies those records necessary to the organization’s continuing operations
- Identifies those records needed to protect the legal and financial rights of the Government and citizens

As soon as possible after activation of the Continuity Plan, but in all cases within 12 hours of activation, continuity personnel at the continuity facility for **[Organization Name]** must have access to the appropriate media for accessing vital records, including:

- A local area network
- Electronic versions of vital records
- Supporting information systems and data
- Internal and external e-mail and e-mail archives
- Hard copies of vital records
- **[Insert any other media here]**

Identifying Vital Records

[Organization Name] has identified the following as vital to its operations, and has assigned responsibility for those records to **[insert personnel or office here]**, which includes a combination of continuity personnel, personnel in the chief information officer’s department, and records management personnel.

[Organization Name] maintains a complete inventory of vital records, along with the locations of and instructions on accessing those records. These records are located at **[insert location/ office]**. This inventory will be maintained at a back-up/offsite location

located at **[insert location(s) here]** by **[insert office]** to ensure continuity if the primary site is damaged, destroyed, or unavailable.

[Insert office] developed and maintains a vital records plan packet or collection located at **[insert location/office]**. The packet or collection includes:

- A hard copy or electronic list of **[Organization Name]** key organization personnel and continuity personnel with up-to-date telephone numbers
- A vital records inventory with the precise locations of vital records prepared by **[insert office]**
- Updates to the vital records
- Necessary keys or access codes
- Listing of the access requirements and sources of equipment necessary to access the records
- **[Organization Name]** continuity facility locations
- Lists of records recovery experts and vendors provided by **[insert office]** and located at **[insert location]**
- A copy of the **[Organization Name]** continuity plans
- **[Insert any other documents included in the packet here]**

For the above items, **[insert office]** is responsible for providing access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines). These requirements and lists are found at **[insert location/office]**.

This packet will be annually reviewed by **[insert office]** with the date and names of the personnel conducting the review documented in writing to ensure that the information is current. A copy will be securely maintained at the **[Organization Name]** continuity facilities and **[insert any other locations here]**, so it is easily accessible to appropriate personnel when needed.

Protecting Vital Records

The protection of vital records is essential to ensuring the records are available during a continuity event, thus enabling agencies to conduct MEFs and PMEFs. **[Organization Name]** has conducted a vital records and database risk assessment to:

- Identify the risks involved if vital records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed
- Identify offsite storage locations and requirements
- Determine if alternative storage media is available
- Determine requirements to duplicate records and provide alternate storage locations to provide readily available vital records under all conditions

The vital records and database risk assessment was performed by **[insert office]** and is located **[insert location]**.

Appropriate protections for vital records will be provided by **[insert office]** and will include dispersing those records to other agency locations or storing those records offsite. Other protections include **[insert additional protections here, including multiple redundant media for storage]**.

When determining and selecting protection methods, **[Organization Name]** takes into account the special protections needed by different kinds of storage media. Microforms, paper photographs, and computer disks, tapes, and drives, all require different methods of protection. Some of these media may also require equipment to facilitate access.

Training and Maintenance

The **[Organization Name]** vital records program includes a training program conducted by **[insert office]** for all staff, to include periodic briefings to managers about the vital records program and its relationship to their vital records and business needs. **[Organization Name]** staff training focuses on identifying, inventorying, protecting, storing, accessing, and updating the vital records. Training records for vital records are maintained by **[insert office]** and are found at **[insert location]**.

[Organization Name] vital records program includes an annual review of the program to address new security issues, identify problem areas, update information, and incorporate any additional vital records generated by new agency programs or functions or by organizational changes to existing programs or functions. The review is conducted by **[insert office]**. The review provides an opportunity to familiarize staff with all aspects of the vital records program. It is appropriate to conduct a review of the vital records program in conjunction with **[Organization Name]** continuity exercises. Documents confirming review of the vital records program are maintained by **[insert office]** and are found at **[insert location]**. At a minimum, **[Organization Name]** vital records are annually reviewed, rotated, or cycled so that the latest versions will be available.

[Organization Name] conducts annual testing, documented in **[Organization Name]** testing records, of the capabilities for protecting classified and unclassified vital records and for providing access to them from the alternate facility. Testing records for vital records are maintained by **[insert office]** and are found at **[insert location]**.

SAMPLE

The following table shows examples of vital files, records, and databases.

Vital File, Record, or Database	Support to Essential Function	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Continuity Facility	Hand Carried to Continuity Facility	Multiple Storage Location(s) Y/N	Maintenance Frequency
GIS Mapping Database	Function #1	Electronic	X		Y	Monthly
List of Licensed Spill Cleanup Contractors	Function #1 & 3	Hardcopy		X	N	Quarterly
List of Regional Dams	Function #2	Hardcopy		X	N	Annually
Pollution/Chemical Incident Database	Function #3 & 4	Electronic	X		N	Monthly
Public and Private Sewage System Records	Function #3, 4, & 5	Electronic	X		Y	Quarterly

For additional information on vital records management, see Annex I of FCD 1.

III. CONTINUITY FACILITIES

All organizations must identify and maintain at least one alternate facility, which could include alternate uses of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff, located where the potential disruption of the organization's ability to initiate and sustain operations is minimized. This section should explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location. Sample text for this section includes:

Continuity Facility Information

[Organization Name] has designated continuity facilities as part of its continuity of operations plan and has prepared ERG personnel for the possibility of unannounced relocation to these sites to continue essential functions. **[Organization Name]** completed and forwarded a Standard Form 336 for each facility to GSA, as applicable. A copy of the form is found **[insert location]**. **[Organization Name]** reevaluates its continuity facilities at least annually and whenever the continuity plans are reviewed and updated.

[Organization Name] **[does/does not]** maintain Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) and reviews the MOA/MOU annually, as applicable.

If MOA/MOUs are necessary, include the following in your plan: An MOA/MOU is necessary because **[Organization Name]** is **[list reasons, e.g. co-located with another agency]**. A copy of the MOA/MOU is found **[insert location]** and maintained by **[insert office name]**.

A map of the surrounding area, including directions and route from the primary operating facility, is located [below/list location]. Additional facility details are as follows:

- (1) This facility is [rented/owned] by [Organization Name].
- (2) [Important contact information for the site, including security, medical, and on-site personnel]
- (3) [Security and access requirements]
- (4) [Medical support at or near the site]
- (5) [Other amenities available at or near the site, including restaurants, stores, banks, and gas stations]

The [Organization Name] continuity facilities provide the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

- (1) Sufficient space and equipment, including computer equipment and software. The continuity facility is able to accommodate [insert number] personnel. Facility floor plans, equipment inventory, and [insert other applicable documents] are found at [insert location].
- (2) Capability to perform MEFs and PMEFs within 12 hours of plan activation or an event, respectively, for up to 30 days or until normal operations can be resumed.
- (3) Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at [insert location] from [insert office or personnel name].
- (4) Consideration for health, safety, security, and emotional well-being of personnel. Considerations available at the alternate site include [insert considerations, such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security].
- (5) Interoperable communications for effective interaction. Additional information on continuity communications is found [insert location] in this plan.
- (6) Capabilities to access and use vital records. Additional information on accessing vital records is found [insert location] in this plan.
- (7) Systems and configurations that are used in daily activities. IT support at the continuity facility is [insert access to IT support]. Details on the systems and configurations are available at [insert location] from [insert office or personnel name].
- (8) Emergency/back-up power capability. Details on the power capability are available at [insert location] from [insert office or personnel name].

Repeat this information for each continuity facility used by your organization.

Continuity Facility Logistics

[Organization Name] continuity facilities maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. These site preparation and activation plans are **[detailed below or insert document name and location]**.

[Organization Name] maintains a transportation support plan that describes procedures for warning and no-warning events.

- During a no-warning event, advance team and ERG personnel are transported to the continuity facility via **[enter means of transportation, rally points, means of notification, back-up transportation methods, and any other necessary information]**.
- During a with warning event, advance team and ERG personnel are transported to the continuity facility via **[enter means of transportation, rally points, means of notification, back-up transportation methods, and any other necessary information]**.

[Organization Name] has addressed the need for housing to support continuity personnel at or near the continuity facility sites by **[insert housing options, such as on-site housing, a list of nearby hotels, and MOA/MOUs with nearby lodging]**.

Continuity Facility Orientation

[Organization Name] regularly familiarizes its ERG members with its continuity facilities. [Organization Name] accomplishes this orientation through **[insert means of orientation, such as deployment exercises, orientation sessions at the site, and briefings]**. This familiarization training is reflected in organization training records located **[insert location]**.

Further, [Organization Name] annually trains and prepares its personnel for the possibility of an unannounced relocation to all continuity facilities. This training is reflected in organization training records located **[insert location]**.

For additional information on continuity facilities, see Annex G of FCD 1.

IV. CONTINUITY COMMUNICATIONS

The ability of an organization to execute its essential functions at its continuity facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal organization elements, other organizations, critical customers, and the public, during crisis and disaster conditions. Sample text for this section includes:

[Organization Name] has identified available and redundant critical communication systems that are located at the continuity facility. Further, [Organization Name] maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. These

systems provide the ability to communicate within and outside the organization and are found [insert location].

In accordance with the National Communications System’s Directive 3-10, if applicable, [Organization Name]:

- (1) Has implemented minimum communications requirements in accordance with NSPD-51/HSPD-20 for its headquarters and its alternate and other continuity facilities, which support the continuation of the organization’s MEFs and PMEFs and support connectivity between and among key government leaders, agencies, critical partners, and public.
- (2) Maintains and has readily available for a period of sustained usage of no less than 30 days, or until normal operations could be reestablished, the required communications capabilities to be used during a continuity event and reflected in training records. Training records are maintained by [insert office/title] and are located [insert location].
- (3) Trains continuity personnel in the use of communications capabilities and IT systems to be used during a continuity event and reflected in training records. Training records are maintained by [insert office/title] and are located [insert location].

SAMPLE

The following chart shows an example of tracking modes of communication systems that support an organization’s essential functions.

Communication System	Support to Essential Function	Current Provider	Specification	Alternate Provider	Special Notes
Non-secure Phones					
Secure Phones					
Fax Lines					
Cellular Phones					
Satellite					
Pagers					
E-mail					
Internet Access					
Data Lines					
Two-way Radios					
GETS Cards					
[Insert other options here]					

All **[Organization Name]** necessary and required communications and IT capabilities must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation. **[Organization Name]** has planned accordingly for essential functions that require uninterrupted communications and IT support, as detailed in the table below.

Organizations that:	If yes, organization must:
Support a NEF	Possess, operate, and maintain, or have dedicated access communications capabilities, at their headquarters and alternate-facility locations, as well as mobile capabilities as required that ensure the continuation of those organizations' functions across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters.
Do not support a NEF	Possess, operate, and maintain, or have dedicated access to communications capabilities at their headquarters and alternate-facility locations, as well as mobile capabilities, as required, that ensure the continuation of those organizations' essential functions.
Are designated as Category I or II	Coordinate with the Secretary of Homeland Security and the Secretary of Defense to obtain and operate secure and integrated continuity of government communications.
Share a continuity facility	Have a signed agreement that ensures that each one will have adequate access to communications resources.

[Organization Name] possesses communications capabilities to support the organization's senior leadership while they are in transit to alternate facilities. These capabilities are maintained by **[insert office/title]** and documentation regarding these communications capabilities is found **[insert location or list capabilities below]**.

[Organization Name] satisfies the requirement to provide assured and priority access to communications resources, including **[insert resources, such as Government Emergency Telephone Service (GETS), Wireless Priority Service, and Telecommunications Service Priority]**. The **[Organization Name]** point-of-contact for these services is **[insert office/title]**.

For additional information on continuity communications, see Annex H of FCD 1.

V. LEADERSHIP AND STAFF

The National Continuity Policy Implementation Plan lists leadership and staff as two of the four key pillars that enable organizations to perform its essential functions. This section should outline the plans, procedures, and policies to safeguard and protect these critical components, including orders of succession, delegations of authority, and human capital.

A. ORDERS OF SUCCESSION

This section identifies current orders of succession to the organization head and key positions, such as administrators, directors, and key managers, within the organization. Revisions should be distributed to agency personnel as changes occur. Sample text for this section includes:

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision making authority. **[Organization Name]** has identified successors for the positions of **[insert leadership positions requiring orders of succession, including the organization head and other key positions]**. A copy of these orders of succession is found **[insert location]**. **[Insert office/title]** is responsible for ensuring orders of succession are up-to-date. When changes occur, **[insert office/title]** distributes the changes to **[insert offices/groups]** by **[insert method of distribution]**.

[Organization Name]'s orders of succession are:

- At least three positions deep, where possible, ensuring sufficient depth to ensure **[Organization Name]**'s ability to manage and direct its essential functions and operations
- Include devolution counterparts, where applicable
- Geographically dispersed, where feasible
- Described by positions or titles, rather than by names of individuals holding those offices
- Reviewed by the organization's general counsel as changes occur
- Included as a vital record, with copies accessible and/or available at both the primary and continuity facilities at **[insert locations]**

SAMPLE

The following table shows the order of succession for the Director of the Bureau of Water Management.

Position	Designated Successors
Director, Bureau of Water Management	1. Deputy Director, Bureau of Water Management
	2. Division Head, Enforcement and Remediation Division
	3. Division Head, Standards and Planning Division
	4. Director, Division of Water Management, Region X

In addition, each order of succession identifies the rules and procedures designated officials must follow when facing issues of succession to office during continuity events and reference applicable laws and agency directives.

- **[List any temporal, geographical, and/or organizational limitations to the authorities in the orders of succession here]**

In the event of a change in leadership status, **[Organization Name]** must notify the successors, as well as internal and external stakeholders. In the event the **[Organization Name]** leadership becomes unreachable or incapable of performing their authorized legal duties, roles, and responsibilities, **[insert office/title]** will initiate a notification of the next successor in line. **[Insert additional methods and procedures of notification here]**. **[Insert office/title]** will use the following procedures to notify internal and external stakeholders of the change in leadership: **[Insert methods and procedures of notification here]**.

[Organization Name] training records document the conduct of annual successor training for all personnel who assume the authority and responsibility of the organization's leadership to include briefing successors to the position of **[Organization Head]** on their responsibilities and duties as a successor. Methods of successor training include **[insert training methods here]**. This training is reflected in **[Organization Name]** training records located **[insert location]**.

For additional information on succession, see Annex E of FCD 1.

B. DELEGATIONS OF AUTHORITY

This section should identify, by position, the legal authority for individuals to make key policy decisions during a continuity situation. An organization delegation of authority should outline explicitly in a statement the authority of an official so designated to exercise agency direction. Sample text for this section includes:

Generally, **[Organization Name]** pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Pre-determined delegations of authority may be particularly important in a devolution scenario.

[Organization Name] has identified the following delegations of authority:

- Orderly succession of officials to the position of **[Organization Head]** in the case of the **[Organization Head]**'s absence, a vacancy at that office, or the inability of the **[Organization Head]** to act during an emergency or national security emergency. The delegation of authority for **[Organization Head]** is found in Annex Implementing Instruction #1.
- **[Insert additional delegations of authority here]**

[Organization Name]'s delegations of authorities are found at the continuity facility and at **[insert location]** and:

- (1) Are included as vital records
- (2) Are written in accordance with applicable laws ensuring that the organization's PMEFs and MEFs are performed

- (3) Outline explicitly in a statement the authority of an official to re-delegate functions and activities, as appropriate
- (4) Delineate the limits of and any exceptions to the authority and accountability for officials
- (5) Define the circumstances, to include a devolution situation if applicable, under which delegations of authorities would take effect and would be terminated

[Organization Name] has informed those officials who might be expected to assume authorities during a continuity situation. Documentation that this has occurred is found **[insert location]** and at the continuity facility. Further, **[Organization Name]** has trained those officials who might be expected to assume authorities during a continuity situation at least annually for all pre-delegated authorities for making policy determinations and all levels using **[insert training methods here]**. This training is reflected in agency training records located **[insert location]**.

For additional information on delegations of authority, see Annex F of FCD 1.

C. HUMAN CAPITAL

This section focuses on the organization continuity personnel and all other special categories of employees who have not been designated as continuity personnel. This section should concentrate on three areas: Continuity Personnel, All Staff, and Human Capital Considerations. Sample text for this section includes:

Continuity Personnel

People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated by **[Organization Name]** to perform assigned response duties. One of these categories is continuity personnel, commonly referred to as Emergency Relocation Group (ERG) members.

In respect to these continuity personnel, **[Organization Name]** has:

- Identified and designated those positions and personnel they judge to be critical to organization operations in any given emergency situation as continuity personnel. A roster of these positions is maintained by **[insert office/title]** and is found at **[insert location]**
- Identified and documented its continuity personnel. These personnel possess the skill sets necessary to perform essential functions and supporting tasks. A roster of these personnel is maintained by **[insert office/title]** and is found at **[insert location]**
- Officially informed all continuity personnel of their roles or designations by providing documentation in the form of **[insert type of documentation here]** to ensure that continuity personnel know and accept their roles and responsibilities. Copies of this documentation is maintained by **[insert office/title]** and found at **[insert location]**

- Ensured continuity personnel participate in their organization’s continuity TT&E program, as reflected in training records. Training records are maintained by **[insert office/title]** and found at **[insert location]**
- Provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event using **[insert methods of providing guidance here]**. Copies of this guidance is maintained by **[insert office/title]** and found at **[insert location]**

All Staff

It is important that **[Organization Name]** keep all staff, especially individuals not identified as continuity personnel, informed and accounted for during a continuity event. **[Organization Name]** has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

- **[Organization Name]** employees are expected to remain in contact with **[insert office/title, such as supervisors]** during any closure or relocation situation. **[Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation]**
- **[Organization Name]** ensures staff is aware of and familiar with human capital guidance in order to continue essential functions during an emergency. **[Organization Name]** uses the following methods to increase awareness: **[Insert methods here, such as utilizing an intranet website or employee orientation briefing]**.

Accounting for all personnel during a continuity event is of utmost importance. In order to account for all staff, **[Organization Name]** will **[insert accountability process here, such as call trees, an automated system, a 1-800 number, etc.]**. Accountability information is reported to **[insert office/title]** at **[insert number]** hour increments. **[Insert office]** has the responsibility of attempting contact with those individuals who are unaccounted for.

An event that requires the activation of the Continuity Plan may personally affect **[Organization Name]** staff. Therefore, the **[insert office]** has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster. These provisions and procedures are found at **[insert location]**.

Human Capital Considerations

The **[Organization Name]** continuity program, plans, and procedures incorporate existing agency-specific guidance and direction for human capital management, including guidance on pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities. The **[insert office]** has the responsibility for **[Organization Name]** human capital issues. A copy of these policies and guidance is found **[insert location]**.

The **[Organization Name]** Continuity Coordinator and Continuity Manager work closely with the **[insert appropriate human capital office/title here]** to resolve human capital issues related to a continuity event. **[Insert office/title]** serves as the **[Organization**

Name] human capital liaison to work with the Continuity Coordinator or Continuity Manager when developing or updating the organization’s emergency plans.

[Organization Name] has developed organization-specific guidance and direction for continuity personnel on human capital issues. This guidance is integrated with human capital procedures for its facility, geographic region, and the Office of Personnel Management (OPM) or similar organization. This guidance is maintained by **[insert office/title]** and found at **[insert location]**. **[Organization Name]** has issued continuity guidance for human capital on the following issues:

- Additional Staffing: **[Insert guidance here or location of guidance]**
- Work Schedules and Leave: **[Insert guidance here or location of guidance]**
- Employee Assistance Program: **[Insert guidance here or location of guidance]**
- Special Needs Employees: **[Insert guidance here or location of guidance]**
- Telework: **[Insert guidance here or location of guidance]**
- Benefits: **[Insert guidance here or location of guidance]**
- Premium and Annual Pay Limitations: **[Insert guidance here or location of guidance]**
- **[Insert additional topics here]**

Further, **[insert office/title]** communicates human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency. The process for communicating this information is as follows: **[Insert communication methods and processes here]**.

For additional information on human capital, see Annex J of FCD 1.

VI. TEST, TRAINING, AND EXERCISES PROGRAM

All organizations must develop and maintain a continuity Test, Training, and Exercise (TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continued performance of MEFs and PMEFS. Sample text for this section includes:

[Organization Name] maintains a robust TT&E program that complies with the DHS-mandated National Exercise Program, as appropriate.

[Organization Name] provides organizational assistance to FEMA in conducting annual full-scale continuity exercises and biennial assessments of the organization’s continuity program to support reports submitted to the NCC and the President or other applicable senior officials. Assistance includes **[insert examples, such as participation on a working group and providing controllers and/or evaluators]**. Additional documentation of this assistance is found **[insert location]**.

[Organization Name] performs TT&E events at regular intervals, in accordance with the requirements specified in FCD 1, throughout the year as depicted in the following table.

Note: In your organization's plan, change the checkmarks to the actual dates of the TT&E event for your organization.

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems	✓			
Test alert, notification, and activation procedures for all continuity personnel		✓		
Test primary and backup infrastructure systems and services at continuity facilities			✓	
Test capabilities to perform MEFs			✓	
Test plans for recovering vital records, critical information systems, services, and data			✓	
Test and exercise of required physical security capabilities at continuity facilities			✓	
Test internal and external interdependencies with respect to performance of MEFs			✓	
Train continuity personnel on roles and responsibilities			✓	
Conduct continuity awareness briefings or orientation for the entire workforce			✓	
Train organization's leadership on PMEFs and MEFs			✓	
Train personnel on all reconstitution plans and procedures			✓	
Allow opportunity for continuity personnel to demonstrate familiarity with continuity plans and procedures and demonstrate organization's capability to continue essential functions			✓	
Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities			✓	
Conduct assessment of organization's continuity TT&E programs and continuity plans and programs			✓	
Report findings of all annual assessments as directed to FEMA			✓	
Conduct successor training for all organization personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation			✓	
Train on the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation for all staff involved in the vital records program			✓	
Test capabilities for protecting classified and unclassified vital records and for providing access to them from the continuity facility			✓	

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Train on an organization's devolution option for continuity, addressing how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency			✓	
Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities, existing facilities, or virtual offices				✓
Allow opportunity to demonstrate intra- and interagency continuity communications capability				✓
Allow opportunity to demonstrate that backup data and records required for supporting essential functions at continuity facilities are sufficient, complete, and current				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures				✓

[**Organization Name**] formally documents and reports all conducted continuity TT&E events, including documenting the date of the TT&E event, the type of event, and names of participants. Documentation also includes test results, feedback forms, participant questionnaires, and any other documents resulting from the event. Continuity TT&E documentation for [**Organization Name**] is managed by [**insert office/title**] and is found [**insert location**]. Further, [**Organization Name**] conducts a comprehensive debriefing or hotwash after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to organization's continuity plan. Documentation from TT&E hotwashes is found [**insert location**].

SAMPLE: TT&E Documentation

The following table shows possible documentation for a TT&E event.

Name of Event:	Type and Purpose of Event:	Date:	Confirmation Initials or Signature
Continuity Facility Communications Check	Test and validate equipment to ensure internal and external interoperability and viability of communications systems	August 1, 2008	[insert signature]
Name of Participants	Office	Phone/Email	
Jane Doe	Office of the Director	222-222-2222/ jane.doe@agency.gov	/s/ Jane Doe
John Smith	Human Resources	111-111-1111/ john.smith@agency.gov	/s/ John Smith

[Organization Name] has developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during continuity TT&E activities, assessments, and emergency operations. The **[Organization Name]** CAP incorporates evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. The **[Organization Name]** CAP is maintained by **[insert office/title]** and CAP documentation is found at **[insert location]**.

The **[Organization Name]**'s continuity CAP:

- (1) Identifies continuity deficiencies and other areas requiring improvement
- (2) Provides responsibilities and a timeline for corrective action
- (3) Identifies program and other continuity funding requirements for submission to organization leadership and the Office of Management and Budget
- (4) Identifies and incorporates efficient acquisition processes and, where appropriate, collects all interagency requirements into one action
- (5) Identifies continuity personnel requirements for organization leadership and their supporting Human Resource Offices and OPM, where appropriate

SAMPLE: Corrective Action Program

The following table shows possible documentation for a CAP entry for a TT&E event.

Capability	Observation Title	Recommendation	Corrective Action	Capability Element	Primary Responsible Agency	Agency POC	Start Date	End Date
Planning	Organization did not conduct a hotwash following March 08 exercise.	Organization should conduct hotwashes in order to allow participants to provide suggestions on areas of strengths and weaknesses.	Exercise director will plan and execute hotwash at December exercise and incorporate comments into AAR.	Planning	[Organization Name]	Exercise Director, John Doe, (111) 222-3333	Mar. 7, 2008	Dec. 1, 2008

For additional information on TT&E, see Annex K of FCD 1. For additional information on the Homeland Security Exercise and Evaluation Program (HSEEP), see <https://hseep.dhs.gov>.

HAZARD-SPECIFIC APPENDICES

The contents of hazard-specific appendices focus on the special planning needs generated by a particular hazard. These appendices contain unique response details that apply to a single hazard. A key hazard-specific appendix is continuity operations during a pandemic influenza. Organizations should determine other specific hazards to address, if needed, based upon the results of the organization risk analysis.

ANNEX IMPLEMENTING INSTRUCTIONS

Implementing instructions may be included as attachments or referenced. Annex Implementing Instructions serve to provide additional information on sections presented in the continuity of operations plan. Potential instructions include:

- *Operational Checklists: A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task.*

Sample operational checklists may include:

- *Emergency Calling Directory*
- *Emergency Relocation Team Checklist and Essential Functions Checklist*
- *Continuity Site Acquisition Checklist*
- *Emergency Operating Records and IT Checklist*
- *Emergency Equipment Checklist*
- *Delegations of Authority*
- *Orders of Succession*
- *Maps and directions to the continuity facility and seating chart of the facility*

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Annex Implementing Instruction #1: Delegation of Authority
[Organization Name]
Delegation Number: **[Insert number]**
Issue Date: **[Insert date]**

DELEGATION OF AUTHORITY
AND SUCCESSION FOR THE
[Insert title of organization head]

PURPOSE

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at the **[Organization Name]** to the Office of the **[insert title of organization head]** in case of the **[Organization Head]**'s absence, a vacancy at that office, or the inability of the **[Organization Head]** to act during a disaster or national security emergency.

DELEGATION

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the **[insert title of organization head]**, in case of my absence, inability to perform, or vacancy of the office, and until that condition ceases. In the event that the Office of the **[insert title of organization head]** is vacant as that term is used in the Federal Vacancies Reform Act of 1998, the **[insert title]** shall act until a successor is appointed.

1. [Insert order of succession here]

The individual serving in the #1 position identified above, is hereby designated the "First Assistant" for the purposes of the Federal Vacancies Reform Act of 1998. If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the **[insert title of organization head]**, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the **[insert title of organization head]** shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designed in the approved order of succession are eligible. Persons appointed on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

AUTHORITIES

The Homeland Security Act of 2002, P.L. 107-296, as amended.
The Federal Vacancies Reform Act of 1998, 5 U.S.C. § 3345, *et seq.*, as amended.
[Insert other applicable authorities here]

OFFICE OF PRIMARY INTEREST

The Office of the **[insert title of organization head]** is the office of primary interest in this delegation.

CANCELLATION

[Insert previous delegation of authority] to Office of the **[insert title of organization head]** is hereby rescinded.

[Organization Head signs here]

[Enter Organization Head's name here]

[Enter Organization Head's title here]

[Enter Organization Name here]

[Enter date here]

[General Counsel signs here]

[Enter General Counsel's name here]

[Enter General Counsel's title here]

[Enter Organization Name here]

[Enter date here]

ANNEX A. GLOSSARY

A glossary should contain a list of key words and phrases used throughout the Continuity Plan and within the continuity of operations community. Each key word and phrase should be clearly defined. The following are definitions of key terms used in this FCD.

Activation – Once a continuity of operations plan has been implemented, whether in whole or in part, it is considered “activated.”

Agencies – Federal departments and agencies means those executive departments enumerated in 5 U.S.C. 101, together with the Department of Homeland Security (DHS), independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the United States Postal Service. The departments, agencies, and independent organizations are referred to in this document as “organizations.”

Agency head – The highest-ranking official of the primary occupant agency, or a successor or designee who has been selected by that official.

All-hazards – The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

Alternate facilities – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity event. “Alternate facilities” refers to not only other locations, but also nontraditional options such as working at home (“teleworking”), telecommuting, and mobile-office concepts.

Business impact analysis (BIA) – A method of identifying the effects of failing to perform a function or requirement.

Business process analysis (BPA) – A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, and facilities inherent in the execution of a function or requirement.

Catastrophic emergency – Any incident, regardless of location, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the U.S. population, infrastructure, environment, economy, or government functions.

Category – This term refers to the categories of agencies listed in Annex A to NSPD-51/HSPD-20.

Communications – Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions of the organization. Robust communications help ensure that the leadership receives coordinated, integrated policy and operational advice and recommendations and will provide the ability for governments and the private sector to communicate internally and with other entities (including with other Federal agencies, State, local, territorial, and tribal governments, and the private sector) as necessary to perform their Mission Essential Functions (MEFs).

Continuity – An uninterrupted ability to provide services and support, while maintaining organizational viability, before, during, and after an event.

Continuity capability – The ability of an organization to continue to perform its essential functions, using continuity of operations and continuity of government programs and continuity requirements that have been integrated into the organization’s daily operations, with the primary goal of ensuring the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions (NEFs) under all conditions. Building upon a foundation of continuity planning and continuity program management, the pillars of a continuity capability are leadership, staff, communications, and facilities.

Continuity coordinators – Representatives of executive branch departments and agencies at the assistant secretary (or equivalent) level.

Continuity facilities – Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity situation. “Continuity facilities” refers to not only other locations, but also nontraditional options such as working at home (“teleworking”), telecommuting, and mobile-office concepts.

Continuity of Government – A coordinated effort within the Federal Government’s executive branch to ensure that NEFs continue to be performed during a catastrophic emergency.

Continuity of Government Readiness Condition (COGCON) – A system for establishing, measuring, and reporting the readiness of executive branch continuity programs, which is independent of other Federal Government readiness systems.

Continuity of Operations – An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Continuity event – Any event that causes an agency to relocate its operations to an alternate or other continuity site to assure continuance of its essential functions.

Continuity personnel - Those personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations

Continuity program management cycle – An ongoing, cyclical model of planning, training, evaluating, and implementing corrective actions for continuity capabilities.

Corrective action program (CAP) – An organized method to document and track improvement actions for a program. The CAP System is a web-based tool that enables Federal, State, and local emergency response and homeland security officials to develop, prioritize, track, and analyze corrective actions following exercises or real world incidents. Users may enter data from a finalized After Action Report/Improvement Plan, track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

Delegation of authority – Identification, by position, of the authorities for making policy determinations and decisions at headquarters, field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

Devolution – The capability to transfer statutory authority and responsibility for essential functions from an agency’s primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.

Drive-away kit – A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual’s personal and professional needs during deployment.

Emergency operating records – Records that support the execution of an agency’s essential functions.

Emergency relocation group (ERG) – Pre-designated staff who move to an alternate facility to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.

ERG member – A person who has been assigned responsibility to report to an alternate facility, as required to perform agency essential functions or other tasks related to continuity operations.

Essential functions – The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: National Essential Functions (NEFs), Primary Mission Essential Functions (PMEFs), and Mission Essential Functions (MEFs).

Executive departments and agencies – Executive departments enumerated in 5 U.S.C. 101, along with DHS, independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the U.S. Postal Service.

Facilities – Locations where an organization’s leadership and staff operate. Leadership and staff may be co-located in one facility or dispersed across many locations and connected by communications systems. Facilities must be able to provide staff with survivable protection and must enable continued and endurable operations.

Federal Continuity Directive (FCD) – A document developed and promulgated by DHS, in coordination with the Continuity Advisory Group and in consultation with the Continuity Policy Coordination Committee, which directs executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

FEMA Operations Center (FOC) – A continuously operating entity of DHS, which is responsible for monitoring emergency operations and promulgating notification of changes to COGCON status.

Government Functions – Government functions include both the collective functions of the heads of agencies as defined by statute, regulations, presidential direction, or other legal authority, and the functions of the legislative and judicial branches.

Homeland Security Advisory System – A series of tools used by DHS that provide the public with guidance on the status of the nation’s homeland security. The system combines threat information with vulnerability assessments, and communicates this information to public safety officials and the public. The system includes Homeland Security Threat Advisories, Homeland Security Information bulletins, and the Threat Level System.

Homeland Security Exercise and Evaluation Program (HSEEP) – A capabilities-based and performance-based program that furnishes standardized policies, doctrines, and terminologies for the design, development, performance, and evaluation of homeland security exercises. The National Exercise Program (NEP) uses the HSEEP as a common methodology for exercises. The HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

Interoperability – “Interoperability” has two meanings: (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies, and to use the services so exchanged so that these organizations can operate together effectively; (2) A condition that is realized among electronic-communications operating systems or grids and/or among individual electronic-communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

Interoperable communications – Communications that provide the capability to perform essential functions, in conjunction with other agencies, under all conditions.

Leadership – The senior decisionmakers who have been elected (e.g., the President, State governors) or designated (e.g., Cabinet Secretaries, chief executive officers) to head a branch of Government or other organization.

Memorandum of Agreement/Memorandum of Understanding (MOA/MOU) – Written agreements between departments/agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Mission Essential Functions (MEFs) – The limited set of agency-level Government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Multiyear strategy and program management plan – A process that ensures the maintenance and continued viability of continuity plans.

National Communications System (NCS) – A system governed by Executive Order 12472 and comprised of the telecommunications assets of 24 Departments and Agencies. DHS serves as the Executive Agent for the NCS, which is responsible for assisting the President, the National Security Council, the Director of OSTP, and the Director of OMB in (1) the exercise of telecommunications functions and their associated responsibilities and (2) the coordination of planning for providing the Federal Government, under all circumstances (including crises and emergencies, attacks, and recovery and reconstitution from those events), with the requisite national security and emergency preparedness communications resources.

National Continuity Policy – It is the policy of the United States to maintain a comprehensive and effective continuity capability composed of Continuity of Operations and Continuity of Government programs in order to ensure the preservation of our form of government under the Constitution and the continuing performance of National Essential Functions under all conditions.

National Essential Functions (NEFs) – The eight functions the President and the Nation’s leadership will focus on to lead and sustain the Nation during a catastrophic emergency; NEFs, therefore, must be supported by COOP and COG capabilities.

National Exercise Program – The NEP is the Nation’s overarching exercise program formulated by the National Security Council / Homeland Security Council, and executed by the Federal Interagency. All interagency partners have adopted HSEEP as the methodology for all exercises that will be conducted as part of the National Exercise Program.

Normal operations – Generally and collectively, “normal operations” refer to the broad functions undertaken by an organization when it is assigned responsibility for a given functional area; these functions include day to day tasks, planning and execution of tasks.

Orders of succession – Provisions for the assumption by individuals of senior agency office leadership positions during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Plan – A proposed or intended method of getting from one set of circumstances to another. A plan is often used to move from the present situation towards the achievement of one or more objectives or goals.

Primary Mission Essential Functions (PMEFs) – Those department and agency Mission Essential Functions, validated by the NCC, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Primary operating facility – The site of an organization’s normal, day-to-day operations; the location where the employee usually goes to work.

Program – A group of related initiatives managed in a coordinated way, so as to obtain a level of control and benefits that would not be possible from the individual management of the initiatives. Programs may include elements of related work outside the scope of the discrete initiatives in the program.

Readiness Reporting System (RRS) – Department of Homeland Security program to collect and manage continuity capability data and assessments of executive branch departments and agencies, and monitor their status to perform their Priority Mission Essential Functions (PMEFs) in support of the National Essential Functions (NEFs). The RRS will be used to conduct assessments and track capabilities at all times, under all conditions, to include natural disasters, manmade incidents, terrorism, and war.

Reconstitution – The process by which surviving and/or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

Recovery – The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.

Rights and interests records – Records that are necessary to protect the legal and financial rights of both the Federal Government and the persons who are affected by its actions.

Risk analysis – The process by which risks are identified and evaluated.

Risk assessment – The identification and assessment of hazards.

Risk management – The process of identifying, controlling, and minimizing the impact of events whose consequences are or may be unknown, or events that are themselves fraught with uncertainty.

Telework – The ability to work at a location other than the official duty station to perform work or emergency duties. This may include, but is not limited to, using portable computers, personal computers, high-speed telecommunications links, and mobile communications devices.

Testing, training, and exercises (TT&E) – Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity situation.

Virtual offices – An environment where employees are not collocated and rely exclusively on information technologies to interact and conduct their work across distance from multiple geographic locations.

Vital records – Electronic and hardcopy documents, references, and records that are needed to support essential functions during a continuity situation. The two basic categories of vital records are (1) emergency operating records and (2) rights and interests records.

Vulnerability analysis – A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

ANNEX B. AUTHORITIES AND REFERENCES

The following are the authorities and references for this Federal Continuity Directive.

AUTHORITIES:

- 1) The National Security Act of 1947, dated July 26, 1947, as amended.
- 2) Executive Order 12148, *Federal Emergency Management*, dated July 20, 1979, as amended.
- 3) Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, dated April 3, 1984, as amended.
- 4) Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated November 18, 1988, as amended.
- 5) The Homeland Security Act of 2002 (Public Law 107-296), dated November 25, 2002.
- 6) Executive Order 13286, *Establishing the Office of Homeland Security*, dated February 28, 2003.
- 7) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.
- 8) Homeland Security Presidential Directive 7, *Critical Infrastructure Identification*, dated December 17, 2003.
- 9) Homeland Security Presidential Directive 8, *National Preparedness*, dated December 17, 2003.
- 10) National Security Presidential Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 9, 2007.
- 11) National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, dated July 25, 2007.
- 12) National Continuity Policy Implementation Plan, dated August 2007.
- 13) Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated February 2008.
- 14) Federal Continuity Directive 2 (FCD 2), *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*, dated February 2008.

REFERENCES:

- 1) Presidential Decision Directive 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas*, dated May 22, 1998.
- 2) 36 Code of Federal Regulations, Part 1236, *Management of Vital Records*, revised as of July 1, 2000.

- 3) 41 Code of Federal Regulations 101.20.103-4, *Occupant Emergency Program*, revised as of July 1, 2000.
- 4) Homeland Security Presidential Directive 1, *Organization and Operation of the Homeland Security Council*, dated October 29, 2001.
- 5) Homeland Security Presidential Directive 3, *Homeland Security Advisory System*, dated March 11, 2002.
- 6) NIST Special Publication 800-34, *Contingency Planning Guide for Information Technology Systems*, dated June 2002.
- 7) Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.
- 8) National Incident Management System (NIMS), dated March 1, 2004.
- 9) Homeland Security Presidential Directive 12, *Policy for a Common Identification Standard for Federal Employees and Contractors*, dated August 27, 2004.
- 10) National Strategy for Pandemic Influenza, dated November 1, 2005.
- 11) National Infrastructure Protection Plan, dated 2006.
- 12) National Strategy for Pandemic Influenza Implementation Plan, dated May 2006.
- 13) NIST Special Publication 800-53, *Recommended Security Controls for Federal Information Systems*, dated December 2006.
- 14) National Exercise Program Implementation Plan, April 2007.
- 15) NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2007 Edition.
- 16) FEMA Continuity of Operations Plan Template Instructions.
- 17) FEMA Continuity of Operations Plan Template.
- 18) Comprehensive Preparedness Guide 101, *Producing Emergency Plans*, – Interim, FEMA, dated August 2008.

ANNEX C. ACRONYMS

This list should include acronyms used throughout the Continuity Plan and within the continuity of operations community. The following are acronyms used in this FCD.

AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
COGCON	Continuity of Government Conditions
DHS	Department of Homeland Security
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
GAO	Government Accountability Office
GETS	Government Emergency Telephone Service
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NCC	National Continuity Coordinator
NEF	National Essential Function
NSPD	National Security Presidential Directive
OPM	Office of Personnel Management
PMEF	Primary Mission Essential Function
RRS	Readiness Reporting System
TT&E	Test, Training, and Exercise

Appendix C: Devolution Template



[Organization Name] Devolution of Operations Plan Template

[Month Day, Year]

[Organization Name]
[Street Address]
[City, State Zip Code]

[Insert Organization Symbol Here]

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[Enter Organization Symbol Here]

MANUAL #####

Number [#####.##]	Date (signed) [Month Day, Year]	[Organization Enter Symbol here]
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[Organization Name] Devolution of Operations Plan

Foreword

The foreword should introduce readers to your devolution of operations plan and establish the Organization's rationale for creating the plan. It must also include a signature block for the director of the Organization so that he/she may sign the plan once approved to make it a valid plan. Sample text for this section includes:

The [Organization Name] supports the overall [enter parent organization name here] mission by [enter text to describe how your organization supports the mission of the parent organization here]. To accomplish its mission, [Organization Name] must ensure that operations continue, with minimal disruptions to essential functions, especially during an emergency.

To support this mission, [Organization Name] must be prepared to continue its essential functions during any type of threat or emergency and to effectively resume its mission and essential functions if an interruption threatens. This document provides planning and program guidance to ensure the continuation of [Organization Name]'s essential functions in the event that the [Organization Name] primary operating facility is incapacitated and personnel are unavailable or incapable of activating or deploying to the normal continuity facility.

This plan has been developed in accordance with guidance in National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20, *National Continuity Policy*; the National Continuity Policy Implementation Plan; Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*; and other related Directives and guidance.

[Director signs here] _____

[Enter Director's name here]

Director

[Organization Name]

Distribution: [Enter organization distribution category and/or information here]

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CHAPTER 1: INTRODUCTION

The introduction should briefly stress how the organization supports the missions of its parent organization and that a continued continuity of operations under any circumstance is needed to ensure there is no disruption in service. Sample text for this section includes:

The **[Organization Name]** supports the overall **[enter parent organization name here]** mission by **[enter text to describe how your organization supports the mission of the parent organization here]**. To accomplish its mission, **[Organization Name]** must ensure that operations continue efficiently, with minimal disruption to essential functions, especially during an emergency. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on **[Organization Name]** missions, personnel, and facilities.

1.1 PURPOSE

The Purpose section should briefly address the devolution of operations concept for the organization and its relationship to continuity of operations. Sample text for this section includes:

This Devolution of Operations Plan supports overall **[Organization Name]** Continuity of Operations planning, and provides procedures, guidance, and organizational structure to ensure the continuation of **[Organization Name]** essential functions in the event that the **[Organization Name]** primary operating facility is incapacitated and personnel are unavailable or incapable of deploying to the **[enter continuity facility name here]**. In this situation, management, leadership responsibility, and essential functions will devolve to the designated **[Organization Name]** devolution of operations sites in **[enter location information here]**, along with several other satellite and subcomponent offices.

1.2 PLAN ORGANIZATION

The plan organization section should briefly orient readers to the layout of the devolution of operations plan for the organization. Sample text for this section includes:

Chapter 1 of the plan outlines the basic policies, definitions, and assumptions that form the framework for the plan. Chapter 2 introduces concepts relevant to the development and execution of the Devolution of Operations Plan. Chapter 3 assigns responsibilities to the respective **[Organization Name]** offices and divisions tasked with planning and implementing devolution. Chapter 4 provides an operational overview of devolution implementation, and Chapter 5 addresses specific devolution of operations support procedures and requirements.

The appendices, A through E, serve to amplify or expand upon information discussed in the plan and may prove useful in understanding new concepts introduced in the body of the plan. Appendix A contains a list of the essential functions of the **[Organization Name]** offices and divisions. Appendix B provides specific information on vital records and continuity communications requirements, and Appendix C provides information regarding the devolution of operations sites. Appendix D provides a listing of all **[Organization Name]** devolution of operations Emergency Response Group (DERG) personnel, including headquarters, regional, and subcomponent staff. Appendix E is an alphabetical listing of the acronyms used in this plan.

1.3 OBJECTIVES

The objectives section should include the objectives of the organization's devolution of operations plan, in order of priority, if possible. Sample text for this section includes:

The Devolution of Operations Plan addresses a key component of continuity of operations planning identified in Federal Continuity Directive 1, *Federal Executive Branch National Continuity Program and Requirements*; dated February 2008, in the event that devolution of operations procedures are necessary. At a minimum, the plan will meet the following objectives:

1. Identify prioritized essential functions and determine necessary resources to facilitate their immediate and seamless transfer to a devolution site;
2. Include a roster identifying organization points-of-contact (POCs) at the designated devolution site with overall responsibility for the fully equipped and trained personnel who will perform essential functions and activities when the devolution option of continuity is activated;
3. Identify the likely activation protocols (triggers) that would initiate or activate the Devolution of Operations Plan;
4. Specify how and when direction and control of organization operations will transfer to the devolution of operations site(s);
5. List necessary resources (people, equipment, and materials) to perform essential functions at the devolution site;
6. Establish reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations for extended periods; and
7. Establish capabilities to restore or reconstitute organization authorities to their pre-event status upon termination of devolution.

1.4 APPLICABILITY AND SCOPE

The applicability and scope section should identify who and what the devolution of operations plan applies to and the staff that should be familiar with the plan. Sample text for this section includes:

This plan applies to the functions, operations, and resources necessary to ensure the continuation of **[Organization Name]** essential functions if disaster, attack, or catastrophe renders personnel incapable or unavailable to sustain operational capability at the **[Organization Name]** primary operating facility or the **[enter continuity facility here]**. This plan applies to **[enter the names of all organization and subcomponents this plan applies to here]** and counterparts. **[Organization Name]** staff must be familiar with devolution of operations policies and procedures and their respective devolution of operations roles and responsibilities.

1.5 ASSUMPTIONS

The assumptions section should briefly orient readers to the layout of the devolution of operations plan for the organization. Sample text for this section includes:

This Devolution of Operations Plan is based on the following assumptions:

1. A without warning catastrophic event or condition requires the relocation of **[Organization Name]** management responsibilities and essential functions to organizations located **[enter location here, e.g. outside of the National Capital Region (NCR)]**.
2. **[Organization Name]** management responsibilities and essential functions cannot be conducted from the primary operating facility or the continuity facilities.
3. **[Organization Name]** personnel are unavailable or incapable of relocation.
4. The Deputy Director, **[Organization Name]**, or **[enter other successor]**, will serve as the Director, Devolution Emergency Response Group.
5. The facilities in the devolution of operations sites are unaffected and have been resourced to incrementally assume the essential functions of **[Organization Name]** until a reconstituted **[Organization Name]** can assume such responsibilities.
6. Essential functions at the devolution of operations sites will temporarily transfer, as required, to a supporting **[Organization Name Office/Region]** until **[Organization Name]** can reconstitute.
7. Appropriate delegation provisions are in place to ensure the rapid and efficient transfer of legal and fiscal authority.
8. Significant changes to **[Organization Name]**'s statutory authority and/or responsibilities will necessitate a revision of this plan.

1.6 AUTHORITIES

The authorities section should include the various documents that apply to your organization's mission, continuity of operations, and devolution of operations. Include any documents that formally establish the key programs for your organization. Sample text for this section includes:

- National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20, *National Continuity Policy*, May 2007.
- National Continuity Policy Implementation Plan, August 2007.
- *The National Security Act of 1947*, 50 U.S.C. 401, as amended.
- *The Homeland Security Act of 2002*, PL 107-296, enacted November 25, 2002, hereafter referred to as *HSA of 2002*.
- *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (42 U.S.C. 5121, et seq.), hereafter referred to as *Stafford Act of 2003*.
- Executive Order 12148, *Federal Emergency Management*, dated July 20, 1979, as amended.

- *National Response Framework*, January 2008.
- Department of Homeland Security Management Directive 9300.1, *Continuity of Operations Programs and Continuity of Government Functions*.
- **[Enter additional authorities here]**.

1.7 REFERENCES

The references section should include the different regulations that govern the procedures and logistics included in your plan. Having these references will allow readers to cross-reference the guidance documents related to the procedures and logistics included in your plan. Sample text for this section includes:

- Title 44, Code of Federal Regulations (CFR) Part 2, Subpart A – *Organization, Functions, and Delegations of Authority*, dated October 1, 2005.
- Title 41, CFR 102-74.230 through 74.260, *Occupant Emergency Program*, revised on July 1, 2005.
- Title 36, CFR Part 1236, *Management of Vital Records*, revised on July 1, 2005.
- Homeland Security Presidential Directive (HSPD) 3, *Homeland Security Advisory System (HSAS)*, dated March 11, 2002.
- **[Organization Name]** *Continuity of Operations Plan*, dated **[enter date of approval here]**.
- **[Enter continuity facility name here]** *Site Support Procedures*, **[Organization Name]** Continuity of Operations, dated **[enter the procedures or manual date of approval here]**.
- **[Enter additional references here]**.

1.8 RESPONSIBILITIES

Your organization's devolution of operations plan needs to specify some key responsibilities up front regarding planning, plan completion, and plan maintenance. The responsibilities section should identify the parties who will play a part in one or more of these areas. Sample text for this section includes:

- The **[enter the responsible office/division within your organization]** has the lead in planning for **[Organization Name]** devolution of operations, to include the development of the plan and procedures that enable the devolution of operations counterpart organizations to assume the mission and essential functions of **[Organization Name]**;
- The **[Organization Name]** offices and divisions are responsible for ensuring their devolution counterparts are trained, equipped, and have access to all vital records, databases, and supporting materials to facilitate the immediate transition of essential functions and sensitive responsibilities from the **[Organization Name]** primary operating facility to the new devolution facility;

- [Enter appropriate regional/office designation here] holds primary responsibility for identifying, coordinating, and training personnel required to perform devolved essential functions. The other [enter appropriate regional/office designation] will support this plan, as appropriate; and
- [Enter appropriate office/division within your organization] is responsible for the annual review and update of this plan.

1.9 DEFINITIONS

This section should contain a list of key words and phrases used throughout the devolution of operations plan. Each key word and phrase should be clearly defined. Sample text for this section includes:

Terms that are unique to this plan and/or the broad understanding of *continuity of operations* and *devolution of operations* are defined below:

- **Continuity of Government (COG):** A coordinated effort within each branch of government (e.g., the Federal Government’s executive branch) to ensure that National Essential Functions (NEFs) continue to be performed during a catastrophic emergency. Note, this term may also be applied to non-Federal governments.
- **Continuity of Operations (COOP):** An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.
- **Devolution Emergency Response Group (DERG):** Regional, subcomponent, and available [Organization Name] staff that assume the responsibility and execution of [Organization Name] primary operating facility essential functions during a devolution of operations activation.
- **Devolution Director:** The successor who succeeds the Director, [Organization Name], and serves as the Devolution Emergency Response Group Director. According to the delegation of authority for the Director, [Organization Name], the successor must be confirmed and not acting.
- **Devolution of Operations:** The capability to transfer statutory authority and responsibility for essential functions from an agency’s primary operating staff and facilities to other agency employees and facilities, and to sustain that operational capability for an extended period.
- **Devolution of Operations Phases:** The four levels of operations implemented in response to a crisis, attack, or catastrophe that render primary operating facility personnel unavailable to, or incapable of, maintaining essential functions at the primary or alternate locations. The phases are implemented sequentially and include: Readiness and Preparedness, Activation and Relocation, Devolution Operations, and Reconstitution.

- **Devolution of Operations Point-of-Contact (POC):** The designated individual from each [Organization Name] office and division and their corresponding counterparts whose duties involve coordination and implementation of the [Organization Name] Devolution of Operations Plan for his/her respective organization.
- **Devolution of Operations Sites:** The facilities where the Devolution Emergency Response Group conducts the essential functions of [Organization Name] primary operating facility.
- **Emergency Relocation Group (ERG):** Pre-designated staff who move to an alternate facility to continue essential functions in the event that their normal work locations are threatened or have been incapacitated by an incident.
- **Essential Functions:** The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: NEFs, PMEFs, and MEFs.
- **Mission Essential Functions (MEFs)** – The limited set of agency-level Government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.
- **National Essential Functions (NEFs)** – The eight functions the President and the Nation’s leadership will focus on to lead and sustain the Nation during a catastrophic emergency; NEFs, therefore, must be supported by COOP and COG capabilities.
- **Primary Mission Essential Functions (PMEFs)** – Those department and agency Mission Essential Functions, validated by the NCC, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.
- **Weapons of Mass Destruction (WMD):** Weapons that are capable of killing a lot of people and/or causing a high-order magnitude of destruction, or weapons that are capable of being used in such a way as to cause mass casualties or create large-scale destruction. WMDs are generally considered to be nuclear, biological, chemical, and radiological devices, but WMDs can also be high-explosive devices.

CHAPTER 2: CONCEPT OF OPERATIONS

2.1 DISRUPTION OF OPERATIONS

This section sets the tone for the chapter and introduces the notion that the devolution of operations plan will provide coverage for your organization beyond the coverage your organization's Continuity of Operations Plan provides. Sample text for this section includes:

A flexible and scalable response is required to address the spectrum of events that could disrupt operations at the **[Organization Name]** primary operating facility. The **[Organization Name]** Devolution of Operations Plan, in conjunction with the **[Organization Name]** Continuity of Operations Plan, ensures such a response capability. While the Continuity of Operations Plan addresses a wide variety of potentially disruptive scenarios, the Devolution of Operations Plan focuses on catastrophic and/or widespread incidents and events that may occur with or without warning and render our facilities and personnel incapable of or unavailable to perform our essential functions (See Appendix A for all **[Organization Name]** essential functions).

2.2 DEVOLUTION OF OPERATIONS SITES

This section identifies the primary facility or facilities to which your organization will devolve operations during a devolution of operations and sets the requirement for regularly revisiting the personnel, equipment, and resources available at each facility to ensure adequacy. The location information should include city and State or territory only. Appendix C will include full location information for your organization. Sample text for this section includes:

The primary **[Organization Name]** devolution of operations sites are located in **[enter location or locations of your devolution sites here]**. **[Organization Name]** offices and divisions and Devolution of Operations POCs shall annually, and after an actual event or a Test, Training and Exercise (TT&E) event, review the devolution of operations personnel, equipment, and resources at each facility to ensure adequacy. See Appendix B for additional information on devolution resource requirements and Appendix C for additional information on the devolution sites.

2.3 DEVOLUTION OF OPERATIONS ACTIVATION CONDITIONS

The decision to devolve operations stems from an incident or potential incident that involves your organization's primary operating facility and prevents your employees from relocating to an alternate operating facility to perform the essential functions of your organization. This section identifies the active and passive measures or triggers likely to cause a devolution of operations. Sample text for this section includes:

The **[Organization Name]** Devolution of Operations Plan may activate due to either an active or a passive measure or trigger, depending on the catastrophe.

2.3.1 ACTIVE MEASURES

Active measures or "triggers" are those that initiate Devolution of Operations Plan activation because of a deliberate decision by senior **[Organization Name]** authorities. In this situation, the Director, **[Organization Name]**, or designated successor activates the Devolution of Operations Plan based on an identified threat to **[enter location here]**. The **[enter primary alerting group name here (usually a pre-established operations center)]** at the **[enter**

[location here] or the [enter alternate alerting group name here] in [enter location here] activates the DERG to assume the [Organization Name] mission and essential functions after receiving instructions from the Director, [Organization Name], or a designated successor.

2.3.2 PASSIVE MEASURES

Passive measures or “triggers” for activating the Devolution of Operations Plan occur when [Organization Name] leadership is not available to initiate activation. For example, when the DERG Director cannot establish contact with the [Organization Name] senior leaders or the [enter primary alerting group name here], using all possible communications devices, or media coverage portrays catastrophic events in and around the [enter location of primary operating facility here], the DERG Director activates the [Organization Name] Devolution of Operations Plan and assumes the [Organization Name] essential functions.

2.4 DEVOLUTION SCENARIOS

This section should include sample scenarios that would cause your organization to devolve operations. The sample scenarios should mention catastrophic events, widespread natural events, and any other events that may cause disruptions to normal operations and prevent organization staff from relocating to an alternate facility. Sample text for this section includes:

The following examples illustrate possible scenarios that could mandate the devolution of the [Organization Name] essential functions:

- The [Organization Name] primary operating facility and staff is unavailable or incapable of executing the [Organization Name] mission as a result of a disaster, attack, or catastrophe (whether or not originating in the [Organization Name] building) (e.g. severe snow and ice storm, pandemic influenza, widespread power outages, etc.).
- [Enter primary operating facility metropolitan region here] is incapable of conducting normal business activities as a result of an incapacitation of critical information and communications systems, extreme natural disaster, Weapons of Mass Destruction (WMD) event, hazardous material incident or biological event rendering the all alternate operating facilities unavailable. Under this scenario, there could be uncertainty regarding whether additional events such as secondary explosions, aftershocks, or cascading information systems failures could occur, and many – if not all – organizations would have to activate their Devolution of Operations programs.

2.5 RELATIONSHIP BETWEEN CONTINUITY AND DEVOLUTION OF OPERATIONS

This section differentiates between normal continuity of operations activations and activities and a devolution of operations. It includes wording to explain the concept, planning, and implementation for continuity of operations and a devolution of operations. Sample text for this section includes:

The [Organization Name] Continuity Plan and Program and the [Organization Name] Devolution of Operations Plan and Program provide mechanisms to ensure that [Organization Name] can sustain operational capability across a broad spectrum of emergencies. The Continuity of Operations Plan supports this goal by relocating a portion of the [Organization Name] staff to [enter location here]. The Devolution of Operations Plan provides for [Organization Name]’s ability to sustain operational capability despite the loss or incapacitation

of our primary operating staff and facilities. Both plans ensure that [Organization Name] can continue to operate following either an expected or an unexpected disruption, during duty and non-duty hours.

Figure 2-1 illustrates the relationship between these two related, but distinct concepts.

Figure 2-1: Relationship Between Continuity and Devolution of Operations

Phase	Continuity of Operations	Devolution of Operations
CONCEPT	Relocate to the continuity facility	Devolve mission to a regional or other office
PLANNING	The Emergency Relocation Group (ERG) assumes the essential functions from one or more continuity facilities	The DERG assumes the essential functions because of the unavailability of the ERG members
IMPLEMENTATION	Personnel move to one or more continuity facilities and perform essential functions	DERG personnel perform essential functions from the Devolution of Operations facilities

2.6 DEVOLUTION OF OPERATIONS THREAT CONDITIONS AND POTENTIAL RESPONSES

This section associates the Homeland Security Presidential Directive 3 threat condition levels with operational conditions and possible organization responses, including those that may lead to a devolution of operations. Sample text for this section includes:

Devolution of operations planning provides [Organization Name] with a means of ensuring the continuity of essential functions, in the absence of a credible warning and/or the ability to relocate the [Organization Name] Emergency Relocation Group (ERG) to one or more continuity facilities. Table 2-1 illustrates the relationship of devolution of operations planning to the threat conditions outlined in Homeland Security Presidential Directive (HSPD) 3.

The Director, [Organization Name], and the ERG will normally refer to the threat conditions and potential responses identified in the [Organization Name] Continuity of Operations Plan when assessing an emergency or disruptive situation to determine whether continuity activation is required. Similarly, the Devolution Director and the other DERG members should refer to the threat conditions and potential responses depicted in Table 2-1 when assessing an emergency to determine if the DERG should anticipate an activation of the [Organization Name] Devolution of Operations Plan.

TABLE 2-1: CONTINUITY THREAT CONDITIONS AND POTENTIAL RESPONSES

HSPD-3 Threat Condition Level	HSPD-3 Threat Condition Criteria	Operational Condition	[Organization Name]’s Potential Responses
Green (Low)	There is a low risk of terrorist attacks.	There is no identifiable or specific threat.	The [Organization Name] Continuity Plan is not activated.
Blue (Guarded)	There is a general risk of terrorist attacks.	There is no identifiable or specific threat.	The [Organization Name] Continuity Plan is not activated.
Yellow (Elevated)	There is a significant risk of terrorist attacks.	Threat is a specific threat to the National Capital Region.	Place the [Organization Name] Continuity ERG on alert.
Orange (High)	There is a high risk of terrorist attacks.	There is a credible and specific threat to the location or of a terrorist attack within the next 24 hours.	Activate the Continuity ERG and place the DERG on alert.
Red (Severe)	There is a severe risk of terrorist attacks.	There is a credible and specific threat of imminent terrorist attack.	Activate the Continuity ERG and place the DERG on alert.
No-Notice Event	Can occur at any threat condition level.	There is a no-notice incapacitation of [Organization Name] and the ERG is not available.	Activate [Organization Name] Devolution of Operations Plan at the devolution of operations sites.

2.7 ASSUMPTION OF [ORGANIZATION NAME] ESSENTIAL FUNCTIONS AND MISSION

This section identifies the need for immediate assumption of the mission and essential functions for your organization when the need to devolve operations occurs. In addition, this section provides instructions for any supporting elements following the activation of your Devolution of Operations Plan. Sample text for this section includes:

Upon activation of the [Organization Name] Devolution of Operations Plan, the DERG will immediately assume the [Organization Name] mission and essential functions. Representatives from other organizations or their designated successors, who normally co-locate with [Organization Name] during emergencies to support the National Response Framework [or other key plans or programs to your organization], will co-locate with the DERG at the Devolution of Operations sites. The DERG will continue to perform the [Organization Name] mission and essential functions until the primary operating facility is reconstituted and can resume its mission.

2.8 ORDERS OF SUCCESSION

Orders of succession require careful planning to ensure leadership sustainability during devolution of operations. Enter or reference the location of your order of succession information for the Director position within your organization here so that you have officially documented the authorities needed to assume the Director position and have identified the successors who may be called upon to assume that authority. Sample text for this section includes:

Succession to the Position of Director, [Organization Name]: In the event of the death, resignation, or if otherwise unable to perform the functions and duties of the position of Director, [Organization Name], pursuant to the Federal Vacancies Reform Act of 1998, (5 U.S.C. §3345-3349) [or enter other appropriate guidance document here], the President [or enter other appropriate official here; e.g., governor, mayor, etc.] may direct an officer or employee to perform the functions and duties of the vacant Director office temporarily in an acting capacity.

Absent the specific direction of the President [or enter other appropriate official here; e.g. governor, mayor, etc.], no official shall sit as the Acting Director, [Organization Name]. However, in the event of the death, resignation or if otherwise unable to perform the functions and duties of the position, the Director, [Organization Name], has delegated to the [enter positions in the order of succession here] those functions and duties, subject to any conditions or restrictions set forth in the [enter applicable delegation of authority regulation for your organization here].

In the event of the unavailability of the Director, [Organization Name], the incumbents of the following positions in the sequence indicated in Figure 2-2, will, if available, exercise the functions and duties delegated, as set forth above. Persons appointed on an acting basis or on some other temporary basis, to the positions listed in Figure 2-2, below, are ineligible to serve. Figure 2-2 illustrates headquarters and regional succession to the position of Director, [Organization Name].

FIGURE 2-2: [ORGANIZATION NAME] ORDER OF SUCCESSION FOR DEVOLUTION



2.9 DELEGATIONS OF AUTHORITY

This section should identify, by position, the legal authority for individuals to make key policy decisions during a devolution of operations situation, particularly those specific to the devolution site. An agency delegation of authority should outline explicitly in a statement the authority of an official so designated to exercise agency direction. Sample text for this section includes:

Generally, **[Organization Name]** pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Pre-determined delegations of authority are particularly important in a devolution scenario.

[Organization Name] has identified the following delegations of authority:

- Orderly succession of officials to the position of **[Organization Head]** in the case of the **[Organization Head]**'s absence, a vacancy at that office, or the inability of the **[Organization Head]** to act during an emergency or national security emergency
- **[Insert additional delegations of authority here]**

[Organization Name] has identified the following delegations of authority specific to the devolution site:

- **[Insert additional delegations of authority here]**

[Organization Name]'s delegations of authorities are found **[insert location]**.

[Organization Name] has informed those officials who might be expected to assume authorities during a continuity situation. Documentation that this has occurred is found **[insert location]**. Further, **[Organization Name]** has trained those officials who might be expected to assume authorities during a continuity situation at least annually for all pre-delegated authorities for making policy determinations and all levels using **[insert training methods here]**. This training is reflected in agency training records located **[insert location]**.

CHAPTER 3: ORGANIZATION AND RESPONSIBILITIES

This chapter identifies the two groups within your organization that focus on devolution of operations and the structure necessary to provide a smooth transition of operations from the primary operating facility to the devolution sites. Sample text for this section includes:

There are two groups involved in devolution planning and execution; the Devolution Working Group (DWG) and the Devolution Emergency Response Group (DERG). This section identifies and defines the organization and responsibilities of the DERG, and follows the concept that **[Organization Name]** offices and divisions have the primary planning responsibility to create a “partnership” with their devolution of operations counterparts. This partnership ensures the devolution of operations sites have the requisite personnel, equipment, and facilities to execute essential functions.

3.1 RESPONSIBILITIES OF THE **[ORGANIZATION NAME]** DEVOLUTION WORKING GROUP

This section establishes a Devolution Working Group for your organization. The working group members will meet at least annually to identify the key issues for your organization regarding devolving operations and propose solutions to resolve these key issues. Having a Devolution Working Group is optional for each organization, although having one will help all organizations continually improve their devolution programs and plans. Sample text for this section includes:

The DWG is a standing committee that will meet on a **[enter time period]** basis to address coordination issues and support needs for the Devolution of Operations counterpart organizations. The DWG is comprised of **[Organization Name]** offices, divisions, regional and subcomponent devolution points-of-contact (POCs) who ensure that the resources and authorities necessary to carry out the essential functions are in place at the Devolution of Operations sites. The DWG responsibilities include the identification of corresponding organizations and individuals for the **[Organization Name]** offices and divisions, the furnishing of critical equipment and materials necessary for the devolution of operations, and the evaluation and reporting of the devolution of operations counterparts to conduct the **[Organization Name]** mission and essential functions.

3.2 RESPONSIBILITIES OF THE **[ORGANIZATION NAME]** DEVOLUTION EMERGENCY RESPONSE GROUP

This section establishes the Devolution Emergency Response Group for your organization. This group of individuals will include those members identified by each office and division as key organizational members needed to perform the organization mission and essential functions during a devolution of operations. This group is not optional and will form the base unit of your devolution of operations plan at your devolution sites. Sample text for this section includes:

The DERG is comprised of key **[Organization Name]** regional, subcomponent, and available **[Organization Name]** personnel who carry out the **[Organization Name]** mission and essential functions at the designated Devolution of Operations sites in the event of a devolution of operations situation. Upon activation, the DERG executes the **[Organization Name]** mission and essential functions until **[Organization Name]** can be reconstituted and assume these

responsibilities. The offices supporting devolution designate their DERG members based on these requirements:

- The ability to identify predetermined essential functions that must be performed, regardless of the functional status of the **[Organization Name]** building and personnel;
- Knowledge and expertise in performing the essential functions;
- The understanding that DERG members are precluded from being members of any other emergency team while they are supporting their DERG responsibilities during a devolution of operations situation.

3.3 ORGANIZATION

This section formally establishes the need for your organization organizations to transfer their essential functions to specific counterparts. The section also refers readers to where they can find more information on your actual coverage scheme to ensure adequate personnel will be available to assume operations and where they can find a list of key points-of-contact. Sample text for this section includes:

Specific organizational structures are required to successfully devolve **[Organization Name]** mission and essential functions to the Devolution of Operations sites. The **[Organization Name]** mission and essential functions must transfer to specific counterpart offices to continue the mission of **[Organization Name]**. Refer to Section Five for specific personnel requirements and office coverage schemes and Appendix D for a list of the **[Organization Name]** and DERG personnel.

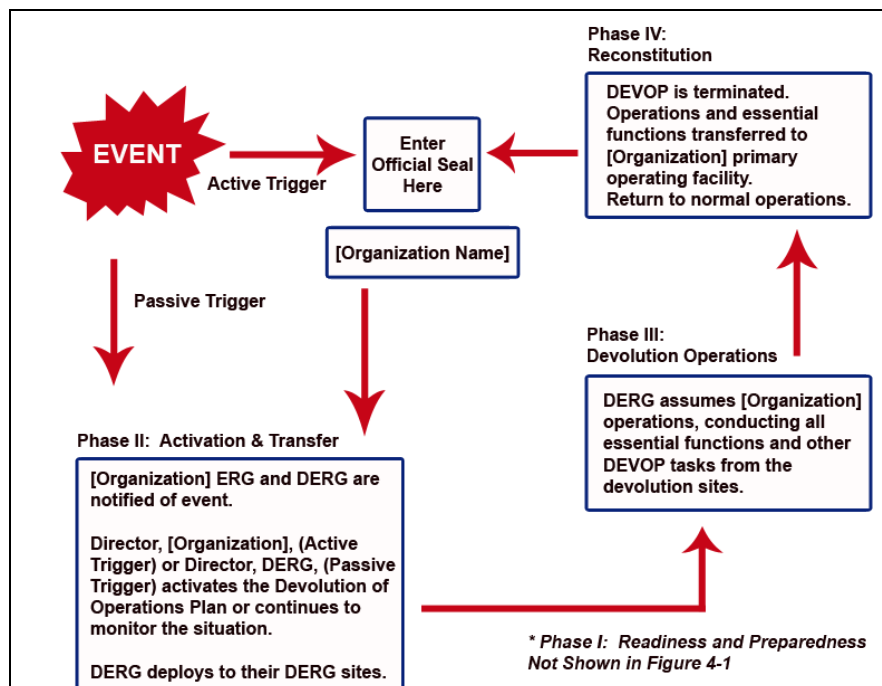
CHAPTER 4: DEVOLUTION OF OPERATIONS IMPLEMENTATION

This chapter focuses on the four stages needed to devolve operations. The four sections expand on the stages of readiness and preparedness, activation and relocation, devolution operations, and reconstitution. During each phase, your devolution of operations plan must identify the procedures, objectives, and logistics needed to effectively devolve organization operations. Once identified, your organization can include all information in your plan or work on plan implementation with the offices within your organization and their devolution counterparts. Sample text for this section includes:

The DERG will implement the [Organization Name] Devolution of Operations Program in four phases, as illustrated in Figure 4-1:

- Phase I: *Readiness and Preparedness*, includes all continuity readiness and preparedness actions including plan development, review, and revision, TT&E, risk management, etc;
- Phase II: *Activation and Transfer of Authority*, which occurs immediately upon confirmation that [Organization Name]'s primary operating facility is unavailable or incapable of performing its essential functions, after either the Director, [Organization Name], or the Devolution Director activate the Devolution of Operations Plan in accordance with the activation triggers;
- Phase III: *Devolution Operations*, which continue until the emergency operations can be terminated; and
- Phase IV: *Reconstitution*, which is conducted after the emergency or disruption ceases and is unlikely to resume.

FIGURE 4-1: DEVOLUTION OF OPERATIONS IMPLEMENTATION PHASES



Each of these phases is presented in more detail in the following sections. Implementation of the [Organization Name] Devolution of Operations Plan depends on the type of emergency, the warning conditions, the location of personnel when notified, and the extent of damage or threat to the primary operating facility and its occupants.

4.1 PHASE I: READINESS AND PREPAREDNESS

Readiness is the ability of an organization to respond to a continuity event. This phase includes all agency continuity readiness and preparedness activities for devolution. Sample text for this section includes:

[Organization Name] participates in the full spectrum of readiness and preparedness activities to ensure its Devolution of Operations plan is viable. [Organization Name] readiness activities include:

- [Enter readiness and preparedness activities here].

4.2 PHASE II: ACTIVATION AND TRANSFER OF AUTHORITY

This section focuses on the aspects of activating and transferring authority to your DERG. It includes the actions the DERG will take when activated for an event with prior warning and for an event without any advanced warning. This section also includes a sub-section covering how to transfer responsibilities once the DERG activates. Sample text for this section includes:

4.2.1 ALERT AND NOTIFICATION

This phase begins with the activation of the [Organization Name] Devolution of Operations Plan and the transfer of its mission, authority, responsibility and essential functions to the DERG. This phase ends with the establishment of the mission-capable DERG.

If a catastrophic event is likely to occur, the DERG will take the following actions:

- The Director, [Organization Name], or designated successor will notify the Devolution Director to activate the Devolution of Operations Plan.
- [Enter your organization's notification chain here]. The Devolution Director will contact the [enter your primary and/or alternate operations center names here] to initiate the automated emergency notification system. If the main notification system is not operational, the [enter your alternate operations center name here, if applicable] will notify key [Organization Name] devolution officials, who will contact all DERG members and non-DERG members. Each division official will notify the [enter your primary and/or alternate operations center names here] upon completion of the notification process.
- DERG members will immediately report to their devolution operating site (during duty and non-duty hours).
- The [enter your primary and/or alternate operations center names here] will notify [enter appropriate notification offices here] that an emergency relocation of [Organization Name] is anticipated or is in progress.

If an unwarned catastrophic event occurs, the Devolution Director will order the following actions:

- DERG members will immediately report to their devolution of operations site (during duty and non-duty hours).
- DERG members will perform the **[Organization Name]** mission and essential functions.
- The **[enter your primary and/or alternate operations center names here]** will notify **[enter appropriate offices here]** that an emergency relocation of **[Organization Name]** is anticipated or is in progress.

As appropriate, news media, outside customers, vendors, and other service providers will be notified by an official spokesperson from the DERG, (via pre-recorded message where appropriate) that **[Organization Name]** has temporarily relocated to its devolution of operations sites.

4.2.2 TRANSITIONING TO THE DEVOLUTION EMERGENCY RESPONSE GROUP

Immediately following a devolution of operations activation, the DERG will:

- Assume all authority and responsibility for execution of the **[Organization Name]** mission and essential functions.
- Execute notification plans.
- The Devolution Director will ensure the **[enter your primary and/or alternate operations center names here]** completes notification of all **[Organization Name]** regional offices, other Federal or State, territorial, tribal, or local organizations, and national leadership or **[enter other notification organizations here]** using the pre-established call-down lists.
- Prepare to receive representatives from other Federal or State, territorial, tribal, or local organizations as required.
- **[Enter additional transition procedures here]**.

4.3 PHASE III: DEVOLUTION OPERATIONS

This section provides details covering how long the DERG will remain activated and how the Devolution Director will confirm the transfer of authority to each devolution counterpart. A major portion of this section involves establishing the DERG Initial Status Call and subsequent call, and including the logistics needed to make the call happen. Items included in this section for the call include the telephone number to use, who determines the time of each call and how that decision gets out to the group members, and the recommended script for call participants to follow. Sample text for this section includes:

The DERG will continue to operate as the **[Organization Name]** until the **[Organization Name]** primary operating facility reconstitutes and reassumes its mission authority. All **[Organization Name]** organizations will devolve to **[Enter designated office name or designation here]** initially. Responsibility will transfer to each organization's actual devolution of operations counterparts after the DERG Initial Status Call using **[enter the number for your initial status call here]**.

The time of the call depends on the time of the decision to devolve the mission and essential functions of [Organization Name]. Upon activation, the Devolution Director will determine the time of the DERG Initial Status Call based on the ongoing situation and activities and inform the [enter appropriate office here], who will include the time for the call and the conference line number and PIN in the alert and notification message.

If the normal [Organization Name] conference line system is not available, the [enter your alternate operations center name here] staff in [enter your alternate operations center location (City and State) here] will activate the back-up system, if applicable. Once done, they will provide the new conference line number and PIN to the Devolution Director. The Devolution Director will determine the time for this call and will include the call time in the notification message from the [enter your primary and/or alternate operations center names here].

The DERG Initial Status Call and subsequent DERG Status Calls will cover the following items:

- Roll Call of all participants, by office and division;
- Situation update from the Devolution Director or designee; to include why [Organization Name] devolved and the current situation in [enter affected location here];
- Status report, including operational capability, from each office and division;
- Identifying and addressing any issues requiring follow-up actions; and
- Decision by the Devolution Director or designee on the course of action for the day for the DERG, to include determining:
 - The offices and divisions that still have full operational capability within the [enter anticipated impacted location here] or at the [enter your continuity facility name here] and therefore will not devolve their essential functions; and
 - The offices and divisions without full operational capability within the [enter anticipated impacted location here] or at the [enter your continuity facility name here] and therefore will devolve their essential functions to their devolution of operations counterpart.
- The Devolution Director or designee will announce any specific instructions for the day and the time and date for the next DERG Status Call.

Each office and division will use the following script for his or her status report during each call: “Good morning, this is [insert speaker name here] with the [insert office or division here]. At this time, I have accounted for [all, some, none, __%] of my office’s personnel. We [can, cannot] perform the mission and essential functions of our primary operating facility counterpart and [are, are not] prepared to do so.

[If none, skip this section.] I have identified the following limiting factors and issues related to our ability to perform the mission and essential functions of our primary operating facility counterpart. They are as follows:

- [List limiting factors and issues]

This concludes the status report for the [insert office or division here]. Thank you.”

The Devolution Director will return overall organization responsibility to the [Organization Name] offices and divisions once all organizations report full operational capability during a DERG Status Call.

Upon arrival at their devolution of operations sites, DERG members, available [Organization Name] staff, and/or other support staff will:

- Report immediately to their respective devolution of operations site unless notified otherwise during the activation process. Some members may move into spaces normally used to support other responsibilities and begin to monitor the situation and prepare the areas for the arrival of the remaining DERG members;
- If activation occurs due to a pandemic influenza or similar scenario, the DERG members will activate and respond to the DERG alert in accordance with their pandemic influenza plan or guidance, which may include reporting to an alternate work location or using telework to perform essential functions;
- Begin to retrieve pre-positioned information and data and activate specialized systems or equipment;
- Call the assessment call number provided in the DERG notification message at the scheduled time to report the status of their organization's operational capabilities;
- Monitor and assess the situation that required the devolution of operations activation;
- Monitor and assess the status of personnel and resources as practicable;
- Continue to perform the [Organization Name] mission and essential functions;
- Establish and maintain contact with the [Organization Name] regional offices, essential field operations, the national leadership and the national security community;
- Prepare and disseminate instructions and reports, as required; and
- **[Enter other activities here].**

4.4 PHASE IV: RECONSTITUTION

This section outlines the reconstitution procedures your organization will follow once it devolves operations away from the primary operating facility. Reconstitution planning begins almost immediately after the activation, depending on the nature of the trigger for the activation. This section includes the groups responsible for reconstitution, the possible options for reconstituting operations at your primary operating facility, and who makes the decision to reconstitute. Sample text for this section includes:

Within 24 hours of the DERG's assumption of the [Organization Name] statutory authority and essential functions, the following individuals or their devolution of operations successors shall initiate and coordinate operations to assess, salvage, restore, and recover the [Organization Name] primary operating facility after receiving recommendations and/or approval from the appropriate local and Federal law enforcement and emergency services:

- Director, **[enter office/division name here]** (lead organization)
- **[Enter others as appropriate].**

Reconstitution procedures will commence when the Director, **[Organization Name]** or designated successor ascertains that the emergency situation has ended and is unlikely to recur. Once the appropriate **[Organization Name]** representative has made this determination in coordination with other appropriate authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue to operate from the devolution of operations sites;
- Begin an orderly return to the **[Organization Name]** primary operating facility and reconstitute **[Organization Name]**; and
- Begin to establish a reconstituted **[Organization Name]** in some other facility in the **[enter affected location here]** or at another designated location.

Once the Director, **[Organization Name]**, or designated successor decides that the **[Organization Name]** staff can reoccupy the **[Organization Name]** primary operating facility or that a different facility will be established as a new operating facility, **[Organization Name]** staff will reestablish **[Organization Name]** following the reconstitution procedures written in the **[Organization Name]** Continuity of Operations Plan. When the reconstituted staff, equipment, and documents are in place at the new or restored **[Organization Name]** primary operating facility, the DERG members at the devolution of operations sites will return mission authority and essential functions to the reconstituted **[Organization Name]** organizations and resume their previous missions and activities.

CHAPTER 5: SUPPORT REQUIREMENTS

This section of the plan contains the primary regional office, or other office, as appropriate, staff augmentation assignments to provide additional staff to support the DERG to perform the [Organization Name] mission and essential functions during a devolution of operations situation.

5.1 PERSONNEL COVERAGE PROCEDURES DURING DERG ACTIVATIONS

During a devolution of operations, the biggest obstacle faced by organizations is identifying enough personnel at the devolution site to assume the essential functions for each office and division. In order to overcome this possible staffing deficiency, this section should outline the coverage schemes you will put in place to ensure adequate staffing to perform the mission and essential functions of your organization.

The coverage schemes should go as deep as necessary to identify enough devolution personnel to evenly match up with the number of ERG members for your organization team. Your coverage scheme needs to account for who will perform the normal operations your regional office or other office, as appropriate, normally performs as well as who will perform the mission and essential functions. Sample text for this section includes:

5.1.1 PROCEDURES FOR COVERAGE DURING A DEVOLUTION OF OPERATIONS SITUATION:

- DERG members will immediately report to their assigned devolution of operations site (during duty and non-duty hours);
- During the DERG activation, the Devolution Director will determine if and when any remaining [Organization Name] personnel will temporarily relocate to their counterpart's devolution of operations site. DERG staff will fund the travel costs associated with any such relocations using **[enter the name of the funding source here (e.g., an open surge account)]**;
- **[Enter primary devolution region/office identifier]** personnel comprise a majority of the DERG and the **[enter primary devolution region/office here]** facilities provide the devolution of operations sites.
- To account for the day-to-day operations once the DERG activates, **[enter back-up region/office here]** will assist **[enter primary devolution region/office here]** as per the **[enter document or coverage guidelines here]** by assuming operational responsibilities for the **[enter primary devolution region or other office identifier here]**;
- **[Insert any additional region/office coverage procedures and alternate devolution site plans here]**;
- Following activation and deployment of the DERG, the Devolution Director may request additional personnel from other [Organization Name] offices for augmentation and shift relief at the devolution of operations sites; and
- The Director, [Organization Name], or the Devolution Director and the corresponding office/region Director or designated successor must agree upon all requests for augmentation of the DERG before deploying any personnel.

5.2 VITAL RECORDS MANAGEMENT

Sharing vital records and databases between your organization and your devolution counterparts is key to the overall success of a devolution of operations. This section identifies those with responsibilities for overseeing vital records for your organization. This section also refers readers to the Vital Records Management appendix. Sample text for this section includes:

The **[enter the name(s) of the appropriate organization(s) within your organization here]**, in coordination with the **[enter the name of the appropriate offices within your organization here]**, provides overall guidance and oversight for the protection of vital records to support the performance of **[Organization Name]** essential functions under any emergency or potential emergency. Categories of these types of vital records and databases may include emergency operating records and legal and financial rights records. Each office/division within the organization holds overall responsibility for updating vital records and databases and for sharing all vital records and databases with their devolution counterparts. See Appendix B for the vital records and databases specific to each office and division.

5.3 PRE-POSITIONED INFORMATION

This section emphasizes the need to share the vital records and databases for your organization with your devolution counterparts. Pre-positioning records is the preferred method of providing your counterparts with vital records and databases, so that they already have the information in the event your operations devolve. Sample text for this section includes:

Without appropriate planning, essential data maintained at the **[Organization Name]** primary operating facility may not be available to the DERG members at the devolution of operations sites. The **[Organization Name]** offices and divisions will coordinate with their devolution of operations counterparts to update all databases and other reference material supporting the **[Organization Name]** mission and essential functions. All parties will make these databases and other supporting materials available by either pre-positioning them at the devolution of operations sites or making them available through an automated data backup process.

5.4 CONTINUITY COMMUNICATIONS

Your organization cannot consider vital records and databases as the only supporting materials you will need to devolve operations. Continuity communications will ensure your organization can successfully devolve operations and that your counterparts can successfully perform your mission and essential functions. This section emphasizes these points and provides the appendix that contains specific telecommunications and information systems items needed at your devolution site(s). Sample text for this section includes:

The **[Organization Name]** offices and divisions must ensure that they consider any unique or critical information system requirements and identify all capabilities needed for their devolution of operations counterparts to perform their essential functions.

The **[Organization Name]** offices and divisions will fully coordinate all telecommunications and information support requirements with their devolution of operations counterparts and the **[enter appropriate office/individual for your organization]**. All offices and divisions will maintain and update all necessary files, documents, computer software, and databases required to carry out essential functions at the devolution of operations sites.

See Appendix B for continuity communications specific to **[Organization Name]** and to each office and division.

5.5 TESTS, TRAINING, AND EXERCISE PROGRAM

This section identifies the various test, training, and exercise activities necessary to keep the Devolution of Operations Plan for your organization current and correct. These requirements should meet those required by Federal Continuity Directive 1. Sample text for this section includes:

The following actions are required to ensure that all personnel are ready and able to execute the Devolution of Operations Plan:

- Annual devolution of operations briefing to all **[Organization Name]** ERG and DERG personnel involved in devolution of operations planning by the **[enter name of office/division with this responsibility]**;
- Annual testing of the **[Organization Name]** active and passive Devolution of Operations Plan activation mechanisms;
- Annual training for the DERG members on their respective devolution of operations responsibilities and the requirements necessary to attain full operational capability;
- Annual testing and exercising of the **[Organization Name]** Devolution of Operations Plan to address how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency from the devolution of operations sites; and
- At least quarterly updates by each **[Organization Name]** office and division to their devolution of operations counterpart regarding day-to-day operations, issues, and any changes to essential functions, vital records, orders of succession, or other continuity-related items.

All devolution of operations preparedness and training activities are documented in writing, including the dates of all TT&E activities and names of participating staff. This documentation is found at **[enter document name and location]**.

The **[Organization Name]** Corrective Action Program (CAP) supports the devolution of operations program to assist in documenting, prioritizing, and resourcing continuity issues identified during devolution of operations TT&E activities, assessments, and emergency operations. The **[Organization Name]** CAP incorporates evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. The **[Organization Name]** CAP is maintained by **[insert office/title]** and CAP documentation is found at **[insert location]**.

5.6 SECURITY

Your organization will most likely have to devolve operations during a tenuous time when security awareness will be in a heightened state. To account for that fact, this section ensures that your devolution counterparts know where to find the security requirements needed at each devolution site to continue the mission and essential functions for your organization without disruptions from outside sources threatening the safety and security of your DERG members. Sample text for this section includes:

In accordance with the guidance and direction provided by applicable regulations and the **[enter appropriate individual or office for your organization]**, the **[Organization Name]** offices and divisions will provide their counterpart DERG members with detailed information on the unique security requirements associated with the assumption of the **[Organization Name]** essential functions.

5.7 BUDGETING AND ACQUISITION

The budgeting and acquisition section should identify the requirements that are necessary for the successful implementation and management of an organization's devolution of operations program. In addition, the organization must establish and maintain reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. Sample text for this section includes:

[Organization Name] budgets for and acquires those capabilities that are essential to devolution of operations. A copy of the continuity budget, which identifies funding for devolution, is found **[insert location]**. The **[enter office/title here]** is responsible for acquiring resources during a devolution situation. **[Organization Name]** has established and maintains reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods during a devolution of operations situation. Those processes and procedures are found **[enter location]** and maintained by **[insert office]**.

A list of those resources the organization has identified as necessary to facilitate the immediate and seamless transfer of essential functions and to the devolution site and the continued performance of these essential functions at the devolution site is located in Appendix B.

[Organization Name] integrates the continuity and devolution of operations budget with its multiyear strategy and program management plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the multiyear strategy and program management plan is found **[insert location]**.

5.8 HUMAN CAPITAL

The human capital section should focus on the organization DERG personnel, continuity personnel, and all other special categories of employees who have not been designated as DERG or continuity personnel. This section should concentrate on three areas: DERG personnel, primary operating facility personnel, and all staff. Sample text for this section includes:

5.8.1 DERG PERSONNEL

People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a devolution of operations event, emergency employees and other special categories of employees will be activated by **[Organization Name]** to perform assigned devolution duties. One of these categories is the DERG members.

In respect to these DERG personnel, **[Organization Name]** has:

- Identified and designated those positions and personnel they judge to be critical to organization operations in a devolution scenario as DERG members. A roster of these positions is maintained by **[insert office/title]** and is found in Appendix D. These personnel possess the skill sets necessary to perform essential functions and supporting tasks during a devolution of operations.
- Officially informed all DERG personnel of their roles or designations by providing documentation in the form of **[insert type of documentation here]** to ensure that DERG personnel know and accept their roles and responsibilities. Copies of this documentation are maintained by **[insert office/title]** and are found at **[insert location]**
- Ensured DERG personnel participate in their organization's continuity TT&E program, as reflected in training records. Training records are maintained by **[insert office/title]** and are found at **[insert location]**
- Provided guidance to DERG personnel on individual preparedness measures they should take to ensure response to a devolution event using **[insert methods of providing guidance here]**. Copies of this guidance are maintained by **[insert office/title]** and are found at **[insert location]**

The **[Organization Name]** continuity program, plans, and procedures incorporate existing organization-specific guidance and direction for human capital management, including guidance on pay, leave, work scheduling, benefits, telework, hiring, etc., authorities and flexibilities. The **[insert office]** has the responsibility for **[Organization Name]** human capital issues. A copy of these policies and guidance is found **[insert location]**.

The **[Organization Name]** Continuity Coordinator, Continuity Manager, and Devolution Director work closely with the **[insert appropriate human capital office/title here]** to resolve human capital issues related to a continuity event. **[Insert office/title]** serves as the **[Organization Name]** human capital liaison to work with the Continuity Coordinator or Continuity Manager when developing or updating the agency's emergency plans.

5.8.2 PRIMARY OPERATING FACILITY PERSONNEL

During a devolution of operations scenario, personnel who work at the primary operating facility, including previously identified continuity personnel, are unable to perform **[Organization Name]** essential functions from the normal continuity facility. Depending on the situation that activates the devolution of operations plan, staff at the primary operating facility will need human capital guidance, particularly on issues of health and life insurance and leave and work schedules.

5.8.3 ALL STAFF

It is important that [Organization Name] keep all organization staff, especially individuals not identified as DERG personnel, informed during a continuity event. [Organization Name] has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

- [Organization Name] employees are expected to remain in contact with [insert office/title, such as supervisors] during any closure situation.
 - [Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure situation]
- [Organization Name] ensures staff is aware of and familiar with human capital guidance in order to continue essential functions during an emergency. [Organization Name] uses the following methods to increase awareness:
 - [Insert methods here, such as utilizing an intranet website or employee orientation briefing].

[Organization Name] has developed agency-specific guidance and direction for personnel on human-capital issues. This guidance is integrated with human capital procedures for its facility, geographic region, and the Office of Personnel Management (OPM). This guidance is maintained by [insert office/title] and is found at [insert location]. [Organization Name] has issued continuity and devolution guidance for human capital on the following issues:

- Additional Staffing: [Insert guidance here or location of guidance]
- Work Schedules and Leave: [Insert guidance here or location of guidance]
- Employee Assistance Program: [Insert guidance here or location of guidance]
- Special Needs Employees: [Insert guidance here or location of guidance]
- Telework: [Insert guidance here or location of guidance]
- Benefits: [Insert guidance here or location of guidance]
- Premium and Annual Pay Limitations: [Insert guidance here or location of guidance]
- [Insert additional topics here]

Further, [insert office/title] communicates human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency. The process for communicating this information is as follows: [Insert communication methods and processes here].

APPENDIX A: [ORGANIZATION NAME] ESSENTIAL FUNCTIONS

This appendix lists the essential functions of the organization. The functions are prioritized within each office and division that will devolve operations to the Devolution Emergency Response Group. Sample text for this appendix includes:

This appendix includes the list of the [Organization Name] essential functions, prioritized within each office and division, which will devolve to the Devolution Emergency Response Group.

A.1 [Office/Division Name]

Priority	Essential Functions
1	[Enter the essential functions for this office/division here]
2	
3	
4	
5	

A.2 [Office/Division Name]

Priority	Essential Functions
1	[Enter the essential functions for this office/division here]
2	
3	
4	
5	

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APPENDIX B: RESOURCE REQUIREMENTS

This appendix identifies the resources, equipment, and vital records, files, and databases needed to assume and continue the mission and essential functions for your organization when the need to devolve operations occurs. Completing the three tables in this appendix will provide your devolution of operations counterparts with the list of resources they will need at each devolution site to ensure a seamless transfer of operations. Points-of-contact have the responsibility of providing their counterparts with all vital records for their organization. Sample text and tables for this appendix includes:

This section identifies the resources, equipment, and vital records, files, and databases needed to assume and continue the mission and essential functions for [Organization Name] when the need to devolve operations occurs.

Table 1: Vital Files, Records, and Databases

[Office or Division] Counterpart	Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-Positioned at Devolution Facility	Hand Carried to Devolution Facility	Storage Location(s)
[Office/Division Name]	WebCims	Electronic	X	N/A	Computer hard drive
	Electronic Correspondence Tracking (ECT)	Electronic	X	N/A	Computer hard drive
	Connection to NEMIS	Electronic	X	N/A	Computer hard drive
	WebTA	Electronic	X	N/A	Computer hard drive
	[Organization Name] Continuity Plan	Electronic & hardcopy	X	X	Computer diskette & printed hardcopy
	[Office/Division Name] Continuity Implementation Plan	Electronic & hardcopy	X	X	Computer diskette & printed hardcopy
	HSIN/Common Operating Picture (COP)	Electronic	X	N/A	COOP Server
	Stafford Act	Hardcopy	X	N/A	Continuity facility
	44 CFR	Hardcopy	X	N/A	Continuity facility

[Office or Division] Counterpart	Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-Positioned at Devolution Facility	Hand Carried to Devolution Facility	Storage Location(s)
[Office/ Division Name]	Continuity Support Team Checklist	Electronic	X	X	Continuity Server
	Continuity Phone Directory	Electronic	X	N/A	Continuity Server
	Continuity Status Reporting Form	Electronic	X	N/A	Continuity Server
	[Organization Name] Continuity Status Report Shell	Electronic	X	N/A	Continuity Server
	HSPD – 1	Electronic	X	N/A	Internet
	HSPD – 5	Electronic	X	N/A	Internet
	HSPD – 7	Electronic	X	N/A	Internet
	SIPRnet/NIPRnet	Electronic	X	N/A	LAN Internet
	JWICS	Electronic	X	N/A	LAN Internet
	HSDN	Electronic	X	N/A	LAN Internet
	[Organization Name] Delegations of Authority	Hardcopy	X	N/A	Intranet, Continuity Server

Table 2: Continuity Communications Employed by All [Organization Name] Offices and Divisions

Voice	Radio	Data
<ul style="list-style-type: none"> • Federal Telephone System • Public Switch Telephone Network • Defense Switched Network • Cellular Phone • [Organization Name] Switched Network 	<ul style="list-style-type: none"> • [Organization Name] National Radio System • Microwave • Satellite 	<ul style="list-style-type: none"> • [Organization Name] Data Network • National Emergency Management Information System • Defense Message System/Automatic Digital Network • Local Area Network/Wide Area Network Connectivity • Homeland Security Information Network (HSIN)/Common Operating Picture (COP)

Table 3: Additional Continuity Communications Employed by [enter Office/Division name]

Office or Division	Voice	Radio	Data	Video
[Office/Division Name]	<ul style="list-style-type: none">• Homeland Security Information Network (HSIN)• National Interorganization Incident Conference Line			<ul style="list-style-type: none">• Commercial Satellite Connectivity

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APPENDIX C: DEVOLUTION OF OPERATIONS SITES

Enter the location, contact, and leadership information for each of your devolution sites in Appendix C. Include maps that will give readers a better idea of where your devolution site is located. However, be sure to avoid providing any classified location information for your sites. Sample text for this appendix includes:

[Enter office name here]

Location:

[Enter location description here]

Phone numbers:

[Enter main switchboard phone numbers here]

Address:

[Enter street address here]

[Enter City, State and Zip Code here]

Office Leadership:

[Enter Devolution Director office name here]

[Enter phone numbers here]

FIGURE C-1: LOCATION OF [ORGANIZATION NAME] DEVOLUTION OF OPERATIONS SITE(S)

[Enter map(s) of and directions to your devolution of operations site(s) here, as applicable and appropriate]

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APPENDIX D: DEVOLUTION COUNTERPARTS

Enter the information for your key personnel within each office and division within your organization. For Figure D-1, always use positions and titles instead of the actual names of individuals to avoid having to make more frequent changes to your plan each time key personnel within your organization change. Sample text for this appendix includes:

To enable the efficient transfer of essential functions to the devolution site, each primary operating facility continuity member has a devolution counterpart. The corresponding positions are listed in the table below. **[Enter office/division]** has responsibility for maintaining current names, telephone numbers, and addresses for the roster and updates the roster **[enter time period]**. A copy of this roster is found **[insert location]**.

FIGURE D-1: [ORGANIZATION NAME] CONTINUITY COUNTERPARTS

Office/Division	Primary Operating Facility Continuity Personnel Name and Telephone Number	Devolution Emergency Response Group Counterpart Contact Information
[Office/Division Name]	[Position & Phone # (###-###-####)]	[Enter position, phone number, and address of counterpart here]
	[Position & Phone # (###-###-####)]	[Enter position, phone number, and address of counterpart here]
[Office/Division Name]	[Position & Phone # (###-###-####)]	[Enter position, phone number, and address of counterpart here]

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APPENDIX E: ACRONYMS

Enter all acronyms used in your devolution of operations plan. Ensure you include all acronyms, so that readers will not get confused trying to decipher acronyms not defined in this section, which could lead to a misunderstanding of your organization's plan. Sample text for this appendix includes:

CAP	Corrective Action Program
CFR	Code of Federal Regulations
COG	Continuity of Government
COOP	Continuity of Operations
COP	Common Operating Picture
DERG	Devolution Emergency Response Group
DHS	Department of Homeland Security
DWG	Devolution Working Group
EO	Executive Order
ERG	Emergency Relocation Group
FCD	Federal Continuity Directive
FEMA	Federal Emergency Management Agency
FOC	FEMA Operations Center
HQ	Headquarters
HSIN	Homeland Security Information Network
HSPD	Homeland Security Presidential Directive
MEF	Mission Essential Function
NCR	National Capital Region
NEF	National Essential Function
NOC	National Operations Center
NSPD	National Security Presidential Directive
OPM	Office of Personnel Management
PMEF	Primary Mission Essential Function
POC	Point-of-Contact
TT&E	Test, Training, and Exercises
WMD	Weapons of Mass Destruction

Appendix D: Continuity Evaluation Tool

CONTINUITY EVALUATION TOOL: VERSION 6

The Continuity Evaluation Tool is designed to assess elements of continuity outlined in the annexes of Federal Continuity Directive 1 (FCD 1). The purpose of the Continuity Evaluation Tool is to evaluate Department and Agency (D/A) continuity programs, plans and procedures that exercise evaluators will assess during the Eagle Horizon 2008 continuity exercise. It is the first step in the implementation of the continuity Readiness Reporting System (RRS), intended to introduce and refine the assessment process, and to establish a baseline that demonstrates the extent to which D/As have implemented their continuity plans and procedures. Following the completion of the Eagle Horizon exercise, the Continuity Evaluation Tool will be incorporated into Spiral 1 of the continuity Readiness Reporting System.

Within the Continuity Evaluation Tool, there are 13 continuity elements to evaluate, which correspond with 13 of the 17 annexes found in FCD 1. The Risk Management Cycle requirements addressed in Annex B of the FCD 1 are captured within individual tasks of the 13 evaluated continuity elements, and Annexes O-Q, which address Acronyms, Definitions, and Authorities and References, respectively, do not contain continuity requirements.

The Continuity Evaluation Tool further defines each element using continuity activities and supporting tasks. The supporting tasks are evaluated on a Yes/No scale with a numerical score of 0 through 6 being equivalent to a “No”, and 7 through 10 being equivalent to a “Yes”. This progressive scoring system is an integral part of the continuity Readiness Reporting System and allows a D/A to demonstrate progress from one assessment to the next, even if the progress is not sufficient to move the rating from a “No” to a “Yes”. Table A further defines these “Yes/No” scoring criteria. The overall assessment for each of these continuity elements will be based on the individual task Yes/No evaluations with that element. Any “No” rating for a critical task renders the entire element as “Red,” indicating significant compliance or implementation concerns.

The Continuity Evaluation Tool Task Rating Instructions:

- Answer all tasks associated with the respective continuity element, using the numerical score defined in Table A.
- Tasks rated as 7 or above are designated as a “Yes” by placing the appropriate numerical score in the “Yes” box.
- Tasks rated as 6 or below are designated as a “No” by placing the appropriate numerical score in the “No” box.
- Items that are not applicable to the D/A’s continuity program in the respective continuity element should be annotated by placing an “X” in the “Not Applicable” box.
- Some tasks within the Continuity Evaluation Tool have been pre-identified and annotated as “Not Applicable” because the guidance referred to in these particular tasks has not been released at this time. These pre-identified tasks are shaded gray.

The Continuity Evaluation Tool Element Rating Instructions:

- Identify any “No” responses for any “critical” tasks, which are those tasks denoted with an asterisk (*), within the respective continuity element. The respective continuity element automatically receives a “Red” overall rating if the answer for any critical task is rated “No”.
- If all critical tasks within the respective continuity element are rated “Yes”, add up all tasks rated as “Yes”, where each “Yes” rating counts as 1 item, regardless of the numerical designation, including all critical ones and all tasks within all activities for the respective continuity element.
- Determine the total number of applicable tasks, including all critical ones, within all activities within the respective continuity element. Exclude any tasks rated as “N/A” from the total number of applicable tasks for that respective element.
- Assign a Green, Yellow, or Red rating for the respective element based on the Yes/No answers given for all applicable tasks for all activities within that respective continuity element.
- The basis for a Green, Yellow, or Red rating is as follows:
 - **GREEN:** All critical tasks are “Yes” and at least 80% of all tasks within the respective continuity element are “Yes”, signifying that there are no significant deficiencies with the respective continuity element.
 - **YELLOW:** All critical tasks are “Yes” and between 50 to 80% of all tasks within the respective continuity element are “Yes”, signifying that there are some compliance and/or implementation concerns that may hinder but not prevent continuity operations from occurring.
 - **RED:** Any critical task is “No” or less than 50% of all tasks within the respective continuity element are “Yes”, signifying that there are significant compliance and/or implementation concerns that will prevent continuity operations from occurring.
- To determine the percentage of tasks you answered as “Yes”, divide the number of tasks rated as “Yes” by the total number of applicable tasks to determine the percentage of tasks that are “Yes”.

Table A: Task Rating Criteria

	No Progress	Limited Progress	Moderate Progress	Substantial Progress	Objective Achieved
EXPLANATION	<p>No progress has been made toward achieving the identified continuity requirement or objective.</p> <p>This may be because there has been no activity in this area or because insurmountable barriers exist.</p>	<p>1-2: Preliminary efforts have been initiated. Few if any steps have been implemented successfully so far.</p> <p>3: Initial specific steps toward the objectives have been successfully implemented.</p> <ul style="list-style-type: none"> Steps may include initial plans to develop this aspect of the capability, allocation of resources, and identification of personnel responsible for achievement of the requirement or objective 	<p>4-5: Significant efforts are under way but the requirement has not yet been fulfilled.</p> <ul style="list-style-type: none"> Important gaps remain. Challenges that could potentially undermine achievement exist and have not yet been resolved. <p>6: Significant efforts are under way and specific examples of progress in this area can be identified.</p> <ul style="list-style-type: none"> Strategies for closing gaps and overcoming barriers have been initiated. 	<p>7-8: Efforts to achieve this objective are established and stable.</p> <ul style="list-style-type: none"> Some weakness or barriers that prevent complete success at all organization component levels persist Shortfalls are not critical and strategies to resolve them are documented and well under way <p>9: Efforts in this area are mature.</p> <ul style="list-style-type: none"> Few gaps or barriers remain None are significant Evidence documenting this level of progress is readily available 	<p>10: Indicates the requirement and/or objective is fully achieved with regard to this capability.</p> <ul style="list-style-type: none"> All barriers to success have been overcome Strengths are robust and likely to be sustained Evidence is readily available attesting to this level of achievement
	0	1 2 3	4 5 6	7 8 9	10
	NO	NO	NO	YES	YES

Table B: Element Rating Criteria

Label	<p>No Progress ←————→ Objective Achieved</p>			
Explanation	<p>0-49%: Low Range:</p> <ul style="list-style-type: none"> • Minimum progress has been made towards achieving the identified objective. • One or more critical tasks may not be completed. • Preliminary efforts may have been initiated. • Steps may include initial plans to develop this aspect of the capability, allocation of resources, and identification of personnel responsible for achievement of the objective. • Strategies for closing gaps and overcoming barriers to success are being developed and initiated. • Work may have begun on strategies to resolve weaknesses and barriers that persist and prevent success. • Insurmountable barriers may exist and challenges that could potentially undermine achievement may exist and might not yet been resolved. 	<p>50-79%: Mid Range:</p> <ul style="list-style-type: none"> • Significant efforts are underway and specific examples of progress in this area can be identified. • All critical tasks have been completed. • Strategies for closing gaps and overcoming barriers to success are being implemented and clear progress has been made. • Efforts to achieve this objective are established and stable. • Some weaknesses or barriers that prevent success persist, but strategies to resolve them are documented and well underway. 	<p>80-99%: Upper Range:</p> <ul style="list-style-type: none"> • Efforts within this continuity element are mature. • All critical tasks have been completed. • Few gaps or barriers to success remain. None are significant. • Evidence documenting this level of progress is readily available. • Efforts within this area may include addressing lessons learned from exercises or events when this element of capability was tested and demonstrated. • Strengths are robust and likely to be sustained. 	<p>100%: Completion</p> <ul style="list-style-type: none"> • Indicates that the objective is fully achieved with regard to this capability. • All critical tasks have been completed. • All barriers to success have been overcome. • Strengths are robust and likely to be sustained. • Evidence is readily available attesting to this level of achievement.
Percent Scale	0-49%	50-79%	80-99%	100%
	RED	YELLOW	GREEN	GREEN

Program Plans and Procedures

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: An effective continuity program is implemented through its related continuity plans and procedures and an effective continuity test, training, exercise, and operational capability to support those plans and procedures. An essential part of developing a comprehensive continuity plan is the establishment of planning and procedural objectives and requirements. Metrics shall be used to measure an agency's ability to meet its continuity requirements. Continuity planning is an effort to document the existence of, and ensure the capability to continue agency essential functions during a wide range of potential emergencies.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, these will provide for the continued performance of an organization's essential functions under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.1*	Agency has a continuity plan and procedures approved by the Agency Head or designee, such as the Continuity Coordinator or Continuity Manager. [FCD 1 Page 11, Item e, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.2*	Agency continuity program supports and plan addresses the key elements of continuity: essential functions; orders of succession; delegations of authority; alternate facilities; interoperable communications; vital records; human capital; tests, training, and exercises (TT&E); devolution; and reconstitution. [FCD 1 Annex A, Page A-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 1: Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, these will provide for the continued performance of an organization's essential functions under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

Tasks/Observation Keys		
A.3	Agency continuity plans and procedures establishes internal procedures for executing changes to the Continuity of Government Readiness Conditions (COGCON), as appropriate. [FCD 1 Annex A, Page A-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.4	Agency continuity plans and procedures provides a process for reporting continuity readiness posture and activation status in accordance with guidance provided in FCD 1 Annex M, Reconstitution Operations, and Annex N, Continuity Plan Operational Phases and Implementation. [FCD 1 Annex A, Page A-3, Bullets #10 & 11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.5	Agency plans or procedures establish and maintain point-of-contact (POC) rosters of trained continuity personnel who are fully equipped and have the authority to perform essential functions, Rosters include at a minimum names and home, work, and cellular telephone numbers. [FCD 1 Annex A, Page A-3, Bullet #13] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.6	Agency plans or procedures include guidance for communicating and coordinating activities with deployed and non-deployed personnel before, during, and after a continuity event [FCD 1 Annex A, Page A-3, Bullet #15; FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.7	Agency plans or procedures provide guidance to all staff in developing Family Support Plans which will increase personal and family preparedness throughout the organization and support employee availability during a continuity event. [FCD 1 Annex A, Page A-4, Bullet #25] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue agency essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.8*	Agency provides a process or methodology for attaining operational capability at the continuity sites(s) with minimal disruption to operations, within 12 hours of plan activation. [FCD 1 Annex A, Page A-4, Bullet #18] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.9*	Agency activation and relocation plans include alert and notification procedures for all continuity personnel throughout the phases of a continuity event, including processes for monitoring the Department of Homeland Security (DHS) Homeland Security Advisory System (HSAS), the Federal Government Response Stages for Pandemic Influenza, intelligence, and other advisory information. [FCD 1 Annex A, Page A-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.10	Agency includes procedures for activation and relocation, including guidance for continuity personnel, in its continuity plan or within a separate implementation plan, which include instructions on moving to an alternate facility and on moving vital records (those that have not been pre-positioned) from the primary to the alternate facility. [FCD 1 Annex A, Page A-3, Bullet #14; FCD 1 Annex N, Page N-4, Activation & Relocation, 2 nd Bullet #5; FCD 1 Annex N, Page N-5, Activation & Relocation, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.11	Agency activation and relocation plans or procedures include a decision matrix for continuity plan and procedure implementation due to with and without warning events during duty hours and non-duty hours for continuity plan activation. [FCD 1 Annex A, Page A-3, Bullets #10 & 16] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.12	Agency activation and relocation plans include procedures for the notification of alternate facilities and on-site support teams. [FCD 1 Annex N, Page N-4, Notification, Bullet #2a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 2: Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue agency essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.13	Agency activation and relocation plans include procedures for agency HQ to notify the FOC of its continuity plan activation and relocation status, the agency's alternate location, operational and communications status, and anticipated duration of relocation. [FCD 1 Annex N, Page N-4, Notification, Bullet #2b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.14	Agency activation and relocation plans include procedures for notifying other POCs, adjacent agencies, customers, stakeholders, and interdependent agencies of continuity plan activation and status. [FCD 1 Annex N, Page N-4, Notification, Bullet #2c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.15	Agency activation and relocation plans identify what drive-away kits should contain and how to maintain those kits. [FCD 1 Annex A, Page A-4, Bullet #22] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.16	Agency activation and relocation plans include instructions on procuring necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. [FCD 1 Annex A, Page A-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Activity 3: Agency plans or procedures include instructions for the execution of all essential functions at the alternate facility, in accordance with applicable continuity guidance and directives, that, when implemented, ensure the capability to continue agency essential functions during a wide range of potential emergencies and under all circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
A.17*	Agency plans or procedures identify the components, processes, and requirements, as determined by the agency, that ensure the continued performance of the agency's MEFs and PMEFs. [FCD 1 Annex A, Page A-3, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.18	Agency plans or procedures include reception in-processing and accounting for continuity personnel. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.19	Agency plans or procedures include transition of responsibilities from the primary operating facility to the deployed continuity personnel, once they are in place at the continuity facilities. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.20	Agency plans or procedures include identification of replacement personnel and augmentees, as necessary. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.21	Agency plans or procedures include provisions and procedures for assisting all agency staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster. [FCD 1 Annex A, Page A-4, Bullet #24] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
A.22	Agency plans or procedures include instructions for the acquisition of necessary personnel and resources for continuity operations on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. [FCD 1 Annex A, Page A-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Program Plans and Procedures (Continued)

Tasks	A.1*	A.2*	A.3	A.4	A.5	A.6	A.7	A.8*	A.9*	A.10	A.11	Total
Yes												
No												
N/A												

Tasks	A.12	A.13	A.14	A.15	A.16	A.17*	A.18	A.19	A.20	A.21	A.22	Total
Yes												
No												
N/A												

An Asterisk (*) after a task number denotes critical task item.

Budgeting and Acquisition of Resources

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Agencies must identify the people, communications, facilities, infrastructure, and transportation requirements, which are necessary to the successful implementation and management of an agency's continuity program. To support these programs, it is necessary to align and allocate the budgetary resources needed to acquire and then implement these requirements.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Through the budgeting process, an agency's leaders and staff will ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)
Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
C.1*	Agency identifies and provides continuity funding and specific budgetary guidance and requirements for all levels of their organizations, including subordinate components and regional-and field-level offices. [FCD 1 Annex C, Page C-1, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.2	Agency incorporates Office of Management and Budget (OMB) continuity guidance in the development of the agency continuity budgets. [FCD 1 Annex C, Page C-1, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
C.3	Agency submits its continuity funding request and performance data to OMB or similar financial governing body, as applicable. [FCD 1 Annex C, Page C-1, OMB Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>

Budgeting and Acquisition of Resources (Continued)

Activity 1: Through the budgeting process, an agency's leaders and staff will ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
C.4	Agency annually reconciles its continuity funding requests and performance data with Continuity Readiness Reporting System and annual continuity assessments compiled by Federal Emergency Management Agency. [FCD 1 Annex C, Page C-1, OMB Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
C.5	Agency uses a risk management methodology, such as the GAO Risk Management Cycle in FCD 1 Annex B, to identify, prioritize, and justify the allocation of budgetary resources. [FCD 1 Annex B, Page B-1, 2 nd Paragraph; FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.6	Agency integrates budgets with a multiyear strategy and program management plan, and links the budgets directly to objectives and metrics set forth in that plan. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
C.7	Agency budgets for continuity capabilities in accordance with NSPD-51/HSPD-20 and National Communications System Directive (NCSD) 3-10 (continuity communications), as applicable. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Activity 2: Through the acquisition process, an agency's leaders and staff will ensure critical continuity resources are available to continue performing the agency's essential functions before, during, and after a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
C.8	Agency provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Budgeting and Acquisition of Resources (Continued)

Tasks	C.1*	C.2	C.3	C.4	C.5	C.6	C.7	C.8	Total
Yes									
No									
N/A		X	X	X					

An Asterisk () after a task number denotes critical task item.*

Essential Functions

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Essential functions are those organizational functions and activities that must be continued under any and all circumstances. These functions are derived from the organizations overall functions and missions and, when identified, should be prioritized to ensure the most important, critical functions are properly identified and emphasized, as appropriate. Essential functions are those functions that enable organizations to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and prioritize all agency essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
D.1*	Agency identified its Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), documenting them in its continuity plan. [FCD 1 Annex A, Page A-4, Bullet #23; FCD 2 Annex A, Page A-2, 1 st Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.2	Agency documented all of the requirements and procedures needed to perform MEFs and PMEFS, such as the establishment of contingency plans in the event that key resources are not available. [FCD 1 Annex A, Page A-4, Bullet #23; FCD 2 Page 2 and Annex A, Page A-2, Step 1 and Step 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.3	Agency reviewed its government functions to determine those directed by applicable laws, presidential directives, executive orders, and other directives. [FCD 1 Annex D, Page D-3, Bullet #1; FCD 2 Annex A, Page A-2, Step 1, 1 st Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Essential Functions (Continued)

Activity 1: Identify and prioritize all agency essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
D.4	Agency conducted a Business Process Analysis (BPA) to determine the MEFs that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #2; FCD 2 Annex A, Page A-2, Step 1, 2 nd Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.5	Agency conducted a MEF BPA to identify and map the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified MEF. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #2; FCD 2 Annex A, Page A-2, Step 1, 2 nd Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.6	Agency head or designee validated and approved the identified MEFs and BPA. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #5; FCD 2 Annex A, Page A-2, Step 1, 5 th Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.7	Agency determined the MEFs that are associated with a National Essential Function (NEF) and that need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance. [FCD 1 Annex D, Page D-5, Paragraph 1; FCD 2 Annex A, Page A-14, Potential PMEFC Screening Worksheet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.8	Using the MEFs that are associated with an NEF and that need to be continued uninterrupted or need to be resumed within 12 hours, agency created PMEFC statements that embodied the specificity of the organizational mission and consisted of one or more MEFs that are linked to NEF execution. [FCD 1 Annex D, Page D-7, Paragraph 1; FCD 2 Annex A, Page A-14, Potential PMEFC Development / PMEFC Candidate Worksheet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Essential Functions (Continued)

Activity 2: Identify and consider the interdependencies needed to perform all agency essential functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
D.9	Agency identified how each MEF is performed and executed, using a business-process flow map. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #2; FCD 2 Annex A, Page A-11, Identification of Key Elements (Internal and External) For the Components of the BPA] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.10	Agency identified internal and external interdependencies that are part of and/or influence each MEF business process. [FCD 1 Annex D, Page D-4, Step #2; FCD 2 Annex A, Page A-9, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.11	Agency identified those MEFs that provided interdependent support to a MEF performed by another agency or to an Emergency Support Function (ESF) under the National Response Framework (NRF). [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #3; FCD 2 Annex A, Page A-2, Step 1, 3 rd Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.12	Agency identified those MEFs that required vital support from another agency to ensure the execution of their mission. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #4; FCD 2 Annex A, Page A-2, Step 1, 4 th Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
D.13	Agency continuity plans and procedures included considerations for the particular interdependencies identified within the BPA for each MEF, to include identifying when and where each interdependency would be executed. [FCD 1 Annex D, Page D-3, Paragraph 2 Bullet #4; FCD 2 Annex A, Page A-2, Step 1, 4 th Bullet] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Essential Functions (Continued)

Tasks	D.1*	D.2	D.3	D.4	D.5	D.6	D.7	D.8	D.9	D.10	D.11	D.12	D.13	Total
Yes														
No														
N/A														

An Asterisk () after a task number denotes critical task item.*

Orders of Succession

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Each organizational element is required to establish, promulgate and maintain orders of succession to key positions. Orders should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
E.1*	Orders of succession for the position of agency head are identified, are current, with revisions distributed to agency personnel as changes occurred. [FCD 1 Annex E, Page E-1, Bullet #1; FCD 1 Annex E, Page E-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.2*	Orders of succession for other key agency positions, including but not limited to administrators, regional or field directors, key managers, other key mission essential personnel or their equivalent positions are identified in the agency's continuity plan and are current. [FCD 1 Annex E, Page E-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.3*	Orders of succession are at least three positions deep, include devolution counterparts when applicable, and are geographically dispersed where feasible. [FCD 1 Annex E, Page E-1, Paragraph 1; FCD 1 Annex E, Page E-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Orders of Succession (Continued)

Activity 1: Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
E.4	Agency described its orders of succession by positions or titles, rather than by the names of the individuals holding those offices. [FCD 1 Annex E, Page E-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.5	Orders of succession reviewed by the agency's general counsel as changes occur. [FCD 1 Annex E, Page E-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.6	Orders of succession identified the rules and procedures designated officials must follow when facing issues of succession to office during continuity events and referenced the applicable laws and agency directives. [FCD 1 Annex E, Page E-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.7	Agency included temporal, geographical, and/or organization limitations to the authorities in its orders of succession procedures. [FCD 1 Annex E, Page E-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.8	Agency included orders of succession as a vital record and copies were accessible and/or available at both the primary and alternate facilities. [FCD 1 Annex E, Page E-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Orders of Succession (Continued)

Activity 2: Notify and train successors to leadership positions within the agency, with all training sessions recorded within agency training records.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
E.9	Agency included the method used to notify successors of their change in leadership status in its orders of succession procedures. [FCD 1 Annex E, Page E-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
E.10	Agency conducted annual successor training for all agency personnel who assume the authority and responsibility of the agency's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation, to include briefing successors to the position of agency head on their duties and responsibilities as a successor, as reflected within agency training records. [FCD 1 Annex E, Page E-2, Bullet #8; FCD 1 Annex K, Page K-2, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Orders of Succession (Continued)

Tasks	E.1*	E.2*	E.3*	E.4	E.5	E.6	E.7	E.8	E.9	E.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

Delegations of Authority

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Delegations of authority specify who is authorized to act on behalf of the Agency head or other officials for specified purposes. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when those channels have been reestablished. Delegations of authority at the headquarters (HQ), regional, field, satellite, and other levels and agency locations, as appropriate, are included in the applicable continuity implementation plans.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and document the delegation of authority to make policy determinations and decisions for key agency leadership positions at the headquarters (HQ), regional, field, satellite, and other levels and agency locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
F.1*	Agency delegation of authority documented in advance (where designated) the legal authority for officials (including those below the level of agency head) to make key policy decisions during a continuity situation. [FCD 1 Annex F, Page F-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.2*	Agency delegation of authority outlined explicitly in a statement, the authority of an official so designated, to exercise agency direction. [FCD 1 Annex F, Page F-1, Bullet #2b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.3	Agency included delegations of authority in the vital records. [FCD 1 Annex F, Page F-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Delegations of Authority (Continued)

Activity 1: Identify and document the delegation of authority to make policy determinations and decisions for key agency leadership positions at the headquarters (HQ), regional, field, satellite, and other levels and agency locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
F.4	Agency delegation of authority was written in accordance with applicable laws ensuring that the agency's Primary Mission Essential Functions (PMEFs) and Mission Essential Functions (MEFs) are performed. [FCD 1 Annex F, Page F-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.5	Agency delegation of authority delineated the limits of and any exceptions to the authority and accountability for officials. [FCD 1 Annex F, Page F-1, Bullet #2a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.6	Agency delegation of authority outlined explicitly in a statement, the authority of an official to re-delegate functions and activities, as appropriate. [FCD 1 Annex F, Page F-1, Bullet #2b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.7	Agency delegation of authority defined the circumstances, to include a devolution situation if applicable, under which delegation of authorities would take effect and would be terminated. [FCD 1 Annex F, Page F-1, Bullet #2c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.8*	Agency informed those officials who might be expected to assume authorities during a continuity situation, as required by its delegations of authority. [FCD 1 Annex F, Page F-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
F.9	Agency trained the officials mentioned in F.8 at least annually, for all pre-delegated authorities for making policy determinations and other decisions, at the headquarters, field, satellite, and other organizational levels, as appropriate, as reflected in agency training records. [FCD 1 Annex F, Page F-1, Bullet #3; FCD 1 Annex K, Page K-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Delegations of Authority (Continued)

Tasks	F.1*	F.2*	F.3	F.4	F.5	F.6	F.7	F.8*	F.9	Total
Yes										
No										
N/A										

An Asterisk () after a task number denotes critical task item.*

Continuity Facilities

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Continuity facilities are locations where leadership and staff may operate during a continuity event. Leadership and staff may be co-located in one facility or dispersed through many locations, connected virtually through communications systems. Facilities must be able to provide survivable protection and enable continued, enduring operations. Physical dispersion should allow for easy transfer of function responsibility in the event of a problem in one location.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, enduring operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.1*	Agency identified and maintained at least one alternate facility, which could include alternate usages of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff; located where the potential disruption of the agency's ability to initiate and sustain operations is minimized. [FCD 1 Annex G, Page G-1, Paragraph 1 & 2; FCD 1 Annex G, Page G-2, 1 st Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.2*	Agency alternate facilities had sufficient distance between each facility location or threatened area and other facilities (hazardous materials sites, nuclear power plants) or locations (areas subject to natural disasters such as hurricanes and earthquakes) that are potential sources of disruptions or threats, as determined by an all-hazards risk assessment of each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.3*	Agency had a signed Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) for all alternate facilities where it co-located with another agency or for alternate facilities it neither owned nor leased, as applicable. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.4	Agency reviewed all alternate facility leases and MOAs/MOUs annually. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.5	Agency has an all-hazards risk assessment, that included identification of all hazards that may affect each facility, for all continuity facilities. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.6	Agency risk assessment included a vulnerability assessment that determined the effects of all hazards on each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.7	Agency risk assessment included a cost-benefit analysis of implementing risk mitigation, prevention, or control measures for each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.8	Agency risk assessment included a formal analysis by management of acceptable risk for each facility. [FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 1: Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, enduring operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.9	Agency reevaluated its alternate facilities, to include virtual office options including telework, for suitability and functionality, at least annually and whenever the agency's continuity plans were reviewed and updated. [FCD 1 Annex G, Page G-5, Acquisition Process, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.10	Agency identified alternate facilities and provided the necessary data on all alternate facilities to GSA using Standard Form 336, when applicable. [FCD 1 Annex G, Page G-5, Reporting Process, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 2: Equip all agency alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.11*	Agency alternate facilities included considerations for health, safety, and security of employees who have been relocated to all alternate sites, to include food, water, and hygiene products, in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed. [FCD 1 Annex G, Page G-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.12*	Agency alternate facilities, to include virtual office options including telework, included reliable logistical support, services, and infrastructure systems, to include information technology technical support; fuel; medical services and facilities; municipal services; and power, in sufficient quantities to sustain operations and to carry out MEFs and PMEFS for up to 30 days or until normal business activities can be resumed. [FCD 1 Annex G, Page G-1, Bullet #3; FCD 1 Annex G, Page G-3, Planning Considerations, Bullet #c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.13*	Agency alternate facilities, to include virtual office options including telework, provided sufficient space, equipment and other resources, to include computer equipment, software, and other automated data processing equipment, to sustain the agency's Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs), as appropriate, Emergency Relocation Group (ERG), and support staff. [FCD 1 Annex G, Page G-1, Bullets #1 & #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.14	Agency established procedures for the orientation of continuity personnel and for conducting operations and administration at all alternate facilities. [FCD 1 Annex G, Page G-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.15	Agency evaluated daily operating facilities for hardness in accordance with Interagency Security Commission Standards or applicable agency standards. [FCD 1 Annex G, Page G-1, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.16	Agency alternate facilities, to include virtual office options including telework, replicated essential capabilities by providing systems and configurations that are used in daily activities. [FCD 1 Annex G, Page G-1, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 2: Equip all agency alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, endurable operations under any circumstances.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.17	Agency plans and procedures identified the interoperable communications systems, including the means for secure communications as appropriate, to allow for effective interaction with identified essential internal and external organizations, as well as with customers and the public, needed at all alternate facilities, to include virtual office options including telework. [FCD 1 Annex G, Page G-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.18	Agency alternate facilities, to include virtual office options including telework, had pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Activity 3: Provide survivable protection and sustain continued, enduring operations under any circumstances from all agency alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
G.19*	Agency alternate facilities maintained emergency/back-up power capability, so that essential functions and operations continue in the event the primary source of power is disrupted. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.20	Within the past year, agency trained and prepared their personnel for the possibility of an unannounced relocation to all alternate facilities, to include virtual office options including telework, as reflected in agency training records. [FCD 1 Annex G, Page G-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.21	Agency alternate facilities defined a transportation support plan and transportation resource requirements, to include transportation to/from the site and on the site, as applicable, that describes procedures for continuity events both with warning and with no warning. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullets #1d & #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
G.22	Agency continuity plans addressed housing to support continuity personnel at or near the alternate facility sites. [FCD 1 Annex G, Page G-4, Planning Considerations, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Facilities (Continued)

Tasks	G.1*	G.2*	G.3*	G.4	G.5	G.6	G.7	G.8	G.9	G.10	G.11*	Total
Yes												
No												
N/A												

Tasks	G.12*	G.13*	G.14	G.15	G.16	G.17	G.18	G.19*	G.20	G.21	G.22	Total
Yes												
No												
N/A												

An Asterisk () after a task number denotes critical task item.*

Continuity Communications

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: The success of continuity programs is dependent on the availability of robust and effective communications to provide Federal intra- and interagency connectivity. An agency's ability to execute its essential functions at its HQ and at its alternate or other continuity facilities, as well as the ability of the agency's senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions, depends upon the availability of effective communications systems. These systems must support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.		
Tasks Observed (check those that were observed and provide the time of observation)		
<i>Note: An Asterisk (*) after a task number denotes critical task item.</i>		
	Tasks/Observation Keys	Task Status
H.1*	Agency implemented minimum communications requirements, in accordance with NSPD-51/HSPD-20 and the National Communications System Directive 3-10 (continuity communications), as applicable, for its HQs and alternate and other continuity facilities, which support the continuation of the agency's Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) and support connectivity between and among key government leaders, internal elements, other executive agencies, critical partners, and the public. [FCD 1 Annex C, Page C-1, Continuity Capabilities Bullet #4 ; FCD 1 Annex H, Page H-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.2*	Agencies that supported the National Essential Functions (NEFs) possessed, operated, and maintained, or had dedicated access to, communications capabilities, at their HQ and alternate-facility locations, as well as mobile communications capabilities, as required, that ensured the continuation of those agencies' functions across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters. [FCD 1 Annex H, Page H-1, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Communications (Continued)

Activity 1: Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
H.3*	Agencies that do not support NEFs possessed, operated, and maintained, or had dedicated access to, communications capabilities at their HQ and alternate-facility locations, as well as mobile communications capabilities, as required, that ensured the continuation of those agencies' essential functions. [FCD 1 Annex H, Page H-1, Paragraph 4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.4*	Agencies designated as Category I or II coordinated with the Secretary of Homeland Security and the Secretary of Defense to obtain and operate secure and integrated continuity of government (COG) communications. [FCD 1 Annex A, Page A-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.5	Agency possessed communications capabilities that supported the agency's senior leadership while they were in transit to alternate facilities. [FCD 1 Annex H, Page H-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.6	Agency had a signed agreement between agencies sharing a continuity facility, which ensured that each one had adequate access to communications resources. [FCD 1 Annex H, Page H-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Communications (Continued)

Activity 2: Verify that agency communications systems meet all agency needs, including those mandated by applicable directives and regulations, and train agency personnel on and test all continuity communications systems that support full connectivity, under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
H.7	Agency maintained and had readily available for a period of sustained usage of no less than 30 days, or until normal operations could be reestablished, the communications capabilities required by the National Communications System's (NCS) Directive 3-10, as reflected in agency testing records. [FCD 1 Annex H, Page H-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.8	Agency trained continuity personnel, as appropriate, in the use of the communications capabilities and information technology (IT) systems required by NCS Directive 3-10 to be used during a continuity event, as reflected in agency training records. [FCD 1 Annex H, Page H-1, Bullet #4; FCD 1 Annex K, Page K-2, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.9	Agency satisfied the requirement to provide assured and priority access to communications resources, such as Government Emergency Telephone Service (GETS), Wireless Priority Service (WPS), and Telecommunications Service Priority (TSP). [FCD 1 Annex H, Page H-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
H.10	Agency maintained fully capable continuity communications that could support agency needs during all hazards, to include a pandemic and other related emergencies and giving full consideration to supporting social distancing operations including telework and other virtual offices. [FCD 1 Annex H, Page H-1, Paragraph 5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Continuity Communications (Continued)

Tasks	H.1*	H.2*	H.3*	H.4*	H.5	H.6	H.7	H.8	H.9	H.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

Vital Records Management

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Each department and agency continuity program, plan, and procedures should account for identification and protection of those vital records and mission critical systems and databases, to include classified or sensitive data as applicable, that are necessary to perform essential functions and activities, and to reconstitute normal operations after the emergency ceases. Agencies should pre-position, and update on a regular basis, duplicate records and databases or back-up electronic media. The agency's Vital Records Program must be reviewed periodically and updated accordingly.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event.		
Tasks Observed (check those that were observed and provide the time of observation)		
<i>Note: An Asterisk (*) after a task number denotes critical task item.</i>		
	Tasks/Observation Keys	Task Status
I.1*	Vital records program identified and protected those records that specified how an agency will immediately operate and continue to operate during a continuity situation. [FCD 1 Annex I, Page I-1, Bullet #1a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.2*	Vital records program identified those records needed to protect the legal and financial rights of the Government and citizens. [FCD 1 Annex I, Page I-2, Bullet #1c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.3	Agency incorporated its vital records program into the overall continuity program, plans, and procedures. [FCD 1 Annex I, Page I-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 1: Identify all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity event.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.4	Agency vital records program included appropriate policies, authorities, procedures and the written designation of a vital-records manager. [FCD 1 Annex I, Page I-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.5	Agency maintained a complete inventory of vital records along with locations of and instructions on accessing those records. [FCD 1 Annex I, Page I-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 2: Maintain access to all vital records needed to continue essential functions and to resume normal operations throughout all phases of a continuity situation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.6*	Vital records, at a minimum, must be annually reviewed, rotated, or cycled so that the latest version will be available. [FCD 1 Annex I, Page I-3, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.7	Agency inventory of vital records maintained at an alternate site. [FCD 1 Annex I, Page I-2, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.8	Agency performed a risk assessment to identify risks if vital records are retained in current locations and media, and the difficulty of reconstituting them if they are destroyed. [FCD 1 Annex I, Page I-2, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.9	Agency ensured appropriate protections for vital records and for dispersing those records to other agency locations. [FCD 1 Annex I, Page I-2, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 3: Create and maintain a vital records plan packet for the agency that includes all applicable materials needed during continuity operations.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.10	Agency developed and maintained a vital records plan packet or collection that included a hard copy or electronic list of key agency personnel and continuity personnel with up-to-date telephone numbers. [FCD 1 Annex I, Page I-3, Bullet #9a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.11	Agency developed and maintained a vital records plan packet or collection that contained an inventory with precise locations of vital records. [FCD 1 Annex I, Page I-3, Bullet #9b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.12	Agency developed and maintained a vital records plan packet or collection that contained the necessary keys or access codes. [FCD 1 Annex I, Page I-3, Bullet #9d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.13	Agency developed and maintained a vital records plan packet or collection that listed alternate operating facility locations. [FCD 1 Annex I, Page I-3, Bullet #9e] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.14	Agency developed and maintained a vital records plan packet or collection that had a listing of the access requirements and lists of the sources of equipment necessary to access the records. [FCD 1 Annex I, Page I-3, Bullet #9f] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.15	Agency developed and maintained a vital records plan packet or collection that listed records recovery experts or vendors. [FCD 1 Annex I, Page I-3, Bullet #9g] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.16	Agency developed and maintained a vital records plan packet or collection that included a copy of the agency's continuity plans. [FCD 1 Annex I, Page I-3, Bullet #9h] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.17	Agency reviewed its vital records plan packet or collection within the past year with the date and names of the personnel who conducted the review documented in writing to ensure that the information is current and with a copy of the review maintained at the agency's alternate facility. [FCD 1 Annex I, Page I-3, Below Bullet #9h] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Activity 4: Review, train, and test agency vital records program and capabilities, with all training and testing sessions recorded within agency records.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
I.18*	Agency annually reviewed the vital records program to address new security issues, identified problem areas, updated information, and incorporated any additional vital records generated by new agency programs or functions or by organizational changes to existing programs or functions. [FCD 1 Annex I, Page I-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.19	Agency conducted annual training regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity situation for all staff involved in the vital records program, to include periodic briefings to managers about the vital-records program and its relationship to their vital-records and business needs, as reflected in agency training records. [FCD 1 Annex I, Page I-3, Bullet #10; FCD 1 Annex K, Page K-2, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
I.20	Agency annually tested their capabilities for protecting classified and unclassified vital records, and for providing access to them from the alternate facility, as reflected in agency testing records. [FCD 1 Annex I, Page I-3, Bullet #12] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Vital Records Management (Continued)

Tasks	I.1*	I.2*	I.3	I.4	I.5	I.6*	I.7	I.8	I.9	I.10	I.11	I.12	I.13	I.14	I.15	I.16	I.17	I.18*	I.19	I.20	Total	
Yes																						
No																						
N/A																						

An Asterisk () after a task number denotes critical task item.*

Human Capital

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: In a continuity event, continuity personnel and other special categories of employees will be activated by an agency to perform their assigned response duties. Agency plans and procedures for all employees should be included or referenced in the continuity plans as well as in other types of emergency response planning documents. An agency must ensure that its human capital strategies for its continuity personnel are adaptable to changing circumstances and a variety of emergencies, and that these strategies and procedures are regularly reviewed and updated, as appropriate.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify continuity leadership and staff and establish agency human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.1*	Agency head or designee had identified and designated those positions and personnel he or she judged to be critical to agency operations in any given emergency situation as members of the emergency relocation group (ERG). [FCD 1 Annex J, Page J-1, Bullet #1, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.2*	Agency ERG members possess the skill sets necessary to perform essential functions and supporting tasks. [FCD 1 Annex J, Page J-1, Bullet #1c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Activity 1: Identify continuity leadership and staff and establish agency human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.3	Agency identified and documented its continuity personnel. [FCD 1 Annex J, Page J-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.4	Agency officially informed all continuity personnel of their roles or designations by providing documentation to ensure that continuity personnel know and accept their roles and responsibilities. [FCD 1 Annex J, Page J-2, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.5	Agency established procedures for contacting and accounting for employees in the event of an emergency. [FCD 1 Annex J, Page J-3, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.6	Agency identified a human capital liaison from the agency's human resources staff to work with the Continuity Coordinator or Continuity Manager when developing or updating the agency's emergency plans. [FCD 1 Annex J, Page J-3, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.7	Agency continuity programs, plans, or procedures included or referenced agency-specific guidance and direction for continuity personnel on human-capital issues. [FCD 1 Annex J, Page J-3, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Activity 2: Communicate and train agency personnel on applicable human capital procedures and considerations related to continuity.**Tasks Observed (check those that were observed and provide the time of observation)**

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
J.8	Agency developed procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure situation. [FCD 1 Annex J, Page J-2, Bullet #3, Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.9	Agency continuity personnel participate in their agency's continuity test, training, and exercise (TT&E) program, as reflected in agency training records. [FCD 1 Annex J, Page J-2, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.10	Agency provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event. [FCD 1 Annex J, Page J-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.11	Agency made staff aware of and familiar with their human capital guidance, such as utilizing an intranet website or employee orientation briefing, in an effort to help agencies continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Activity 3: Develop and integrate human capital strategies for all agency personnel during a continuity activation.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk (*) after a task number denotes critical task item.

	Tasks/Observation Keys	Task Status
J.12	Agency developed a process to communicate instructions with continuity personnel before, during, and after a continuity event. [FCD 1 Annex J, Page J-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.13	Agency developed a process to communicate the agency's operating status with all staff. [FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.14	Agency integrated human capital procedures for its facility, geographic region, and Office of Personnel Management (OPM) into its continuity plan, as appropriate. [FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
J.15	Agency developed a process to communicate their human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities) to managers in an effort to help agencies continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Human Capital (Continued)

Tasks	J.1*	J.2*	J.3	J.4	J.5	J.6	J.7	J.8	J.9	J.10	J.11	J.12	J.13	J.14	J.15	Total
Yes																
No																
N/A																

An Asterisk () after a task number denotes critical task item.*

Test, Training, and Exercise Program

Element Color Determination: _____

Exercise Evaluation Guide

<p>Capability Description: An effective Test, Training, and Exercise (TT&E) program is necessary to assist agencies to prepare and validate their organization's continuity capabilities and program and support the Federal executive branch's ability to perform PMEFS and MEFs during any emergency. The test, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving an agency's ability to execute its continuity program, plans, and procedures. Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of an agency's essential functions during a continuity event. Tests and exercises serve to assess, validate, or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.</p>	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

<p>Activity 1: Create, execute, and document an effective agency-wide continuity testing program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.</p>		
<p>Tasks Observed (check those that were observed and provide the time of observation) <i>Note: An Asterisk (*) after a task number denotes critical task item.</i></p>		
	Tasks/Observation Keys	Task Status
K.1*	Agency developed and maintained a continuity Test, Training, & Exercise (TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continuation of the performance of MEFs and PMEFS. [FCD 1 Annex K, Page K-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.2*	Agency conducted quarterly testing of alert, notification, and activation procedures for all continuity personnel. [FCD 1 Annex K, Page K-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 1: Create, execute, and document an effective agency-wide continuity testing program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.3*	Agency conducted annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities. [FCD 1 Annex K, Page K-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.4*	Agency tested and validated equipment to ensure the internal and external interoperability and viability of communications systems, through monthly testing of the continuity communications capabilities outlined in FCD 1, Annex H (e.g., secure and nonsecure voice and data communications). [FCD 1 Annex K, Page K-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.5*	Agency annually tested the capabilities required to perform the agency's Mission Essential Functions (MEFs), as identified in the business process analysis (BPA). [FCD 1 Annex K, Page K-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.6	Agency conducted annual testing of plans for recovering vital records (both classified and unclassified), critical information systems, services, and data. [FCD 1 Annex K, Page K-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.7	Agency conducted annual testing and exercising of required physical security capabilities at its alternate facilities. [FCD 1 Annex K, Page K-1, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.8	Agency formally documented and reported all conducted tests and their results, as applicable. [FCD 1 Annex K, Page K-1, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 1: Create, execute, and document an effective agency-wide continuity testing program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.9	Agency reported all test results as directed by the Department of Homeland Security (DHS) and the Federal Emergency Management Agency (FEMA). [FCD 1 Annex K, Page K-1, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>
K.10	Agency conducted annual testing of internal and external interdependencies identified in the agency's continuity plan, with respect to performance of an agency's and other agencies' MEFs. [FCD 1 Annex K, Page K-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 2: Create, execute, and document an effective agency-wide continuity training program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.11*	Agency conducted annual training on the roles and responsibilities for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations. [FCD 1 Annex J, Page J-1, Bullet #1; FCD 1 Annex K, Page K-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.12	Agency conducted annual continuity awareness briefings (or other means of orientation) for the entire workforce. [FCD 1 Annex K, Page K-2, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.13	Agency conducted annual training for the agency's leadership on that agency's Primary Missions Essential Functions (PMEFs) and Mission Essential Functions (MEFs), including training on their continuity responsibilities. [FCD 1 Annex K, Page K-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.14	Agency conducted personnel briefings on agency continuity plans that involve using or relocating to alternate facilities, existing facilities, or virtual offices. [FCD 1 Annex K, Page K-2, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.15	Agency conducted annual training for all reconstitution plans and procedures to resume normal agency operations from the original or replacement primary operating facility. [FCD 1 Annex K, Page K-2, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.16	Agency documented all training sessions within an annual report, to include the type of training conducted, the date of each training session, those completing the training, and by whom the training was given; and submitted this annual report on its training program to FEMA. [FCD 1 Annex K, Page K-2, Training Section, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 3: Create, execute, and document an effective agency-wide exercise program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.17	Agency exercise program complies with the DHS-mandated National Exercise Program (NEP), as appropriate. [FCD 1 Annex K, Page K-2, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.18	Agency TT&E program provided an annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures and to demonstrate the agency's capability to continue its essential functions. [FCD 1 Annex K, Page K-2, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.19	Agency conducted an annual exercise that incorporated the deliberate and preplanned movement of continuity personnel to an alternative facility or location. [FCD 1 Annex K, Page K-3, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.20	Agency TT&E program provided an opportunity to demonstrate its intra- and interagency continuity communications capabilities. [FCD 1 Annex K, Page K-3, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.21	Agency TT&E program provided an opportunity to demonstrate that backup data and records required for supporting essential functions at alternate facilities or locations are sufficient, complete, and current. [FCD 1 Annex K, Page K-3 Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.22	Agency TT&E program provided an opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities, when appropriate. [FCD 1 Annex K, Page K-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.23	Agency TT&E program provided an opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures. [FCD 1 Annex K, Page K-3, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 3: Create, execute, and document an effective agency-wide exercise program that demonstrates, assesses, and improves an agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.24	Agency conducted a comprehensive debriefing or hotwash after each exercise, which allowed participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the agency's continuity plan. [FCD 1 Annex K, Page K-3, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.25	Agency provided organizational assistance to FEMA in conducting annual full-scale continuity exercises and biennial assessments of the agency's continuity program to support reports submitted to the National Continuity Coordinator (NCC) and the President. [FCD 1 Annex K, Page K-3, Bullet #11] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 4: Maintain an agency Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.26	Agency developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. [FCD 1 Annex K, Page K-3, Bullet #12] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.27	Agency incorporated evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP. [FCD 1 Annex K, Page K-3, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.28	Agency continuity personnel conducted annual assessments of their continuity TT&E programs and continuity plans and programs. [FCD 1 Annex K, Page K-3, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.29	Agency continuity personnel reported the findings of all annual assessments as directed to FEMA. [FCD 1 Annex K, Page K-3, Bullet #10] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.30	Agency CAP identified continuity deficiencies and other areas requiring improvement. [FCD 1 Annex K, Page K-3, Bullet #12a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.31	Agency CAP provided responsibilities and a timeline for corrective action. [FCD 1 Annex K, Page K-3, Bullet #12a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Activity 4: Maintain an agency Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the agency's ability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
K.32	Agency CAP identified program and other continuity funding requirements for submission to department and agency leadership and Office of Management and Budget (OMB). [FCD 1 Annex K, Page K-3, Bullet #12b] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.33	Agency CAP identified and incorporated efficient acquisition processes, and where appropriate, collected all interagency requirements into one action. [FCD 1 Annex K, Page K-3, Bullet #12c] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
K.34	Agency CAP identified continuity personnel requirements for department and agency leadership and their supporting Human Resource Offices and the Office of Personnel Management (OPM), where appropriate. [FCD 1 Annex K, Page K-3, Bullet #12d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Test, Training, and Exercise Program (Continued)

Tasks	K.1*	K.2*	K.3*	K.4*	K.5*	K.6	K.7	K.8	K.9	K.10	K.11*	K.12	K.13	K.14	K.15	K.16	K.17	Total
Yes																		
No																		
N/A									X							X		

Tasks	K.18	K.19	K.20	K.21	K.22	K.23	K.24	K.25	K.26	K.27	K.28	K.29	K.30	K.31	K.32	K.33	K.34	Total
Yes																		
No																		
N/A																		

An Asterisk (*) after a task number denotes critical task item.

Devolution of Control and Direction

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Devolution planning supports overall continuity planning and addresses catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions from either the agency's primary or alternate facilities. Devolution planning also addresses notice and no notice events. A continuity plan's devolution option should be developed so that it addresses how an agency will identify and transfer its essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment in which essential functions can continue to be performed. The devolution option may be used when the agency's alternate facility is not available or the option can be activated as a continuity measure.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L. 1*	Agency devolution plan included the elements of a viable continuity capability: program plans and procedures; budgeting and acquisitions; essential functions; orders of succession and delegations of authority specific to the devolution site; interoperable communications; vital records management; staff; test, training, and exercise (TT&E); and reconstitution. [FCD 1 Annex L, Page L-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Devolution of Control and Direction (Continued)

Activity 1: Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies that render an agency's leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L. 2*	Agency devolution plan identified prioritized essential functions and defined the tasks that support those essential functions. [FCD 1 Annex L, Page L-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.3*	Agency devolution plan maintained a roster identifying fully equipped and trained personnel who will be stationed at the designated devolution site and who have the authority to perform essential functions and activities when the devolution option of the continuity plan is activated. [FCD 1 Annex L, Page L-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.4*	Agency devolution plan identified what would likely activate or "trigger" the devolution option and specified how and when direction and control of agency operations will be transferred to and from the devolution site. [FCD 1 Annex L, Page L-1, Bullet #4; FCD 1 Annex L, Page L-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.5	Agency established and maintained a capability to restore or reconstitute agency authorities to their pre-event status upon termination of devolution. [FCD 1 Annex L, Page L-1, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Devolution of Control and Direction (Continued)

Activity 2: Develop a devolution plan or procedures that address the resource and training considerations needed to transfer agency essential functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an agency's leadership and key staff unavailable to or incapable of performing its essential functions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
L.6	Agency determined the necessary resources to facilitate the immediate and seamless transfer of essential functions to the devolution site. [FCD 1 Annex L, Page L-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.7	Agency listed or referenced the necessary resources (i.e., equipment and materials) to facilitate the performance of essential functions at the devolution site within the devolution section of its continuity plan. [FCD 1 Annex L, Page L-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.8	Agency established and maintained reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. [FCD 1 Annex L, Page L-1, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.9	Agency conducted annual training on an agency's devolution option for continuity, addressing how the agency will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency and documented the devolution preparedness activities in writing, to include the dates of all TT&E events and names of staff participating in those events. [FCD 1 Annex K, Page K-2, Bullet #9; FCD 1 Annex L, Page L-1, 2 nd to Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
L.10	Agency corrective action program (CAP) supported the agency's devolution program. [FCD 1 Annex L, Page L-1, Last Sentence] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Devolution of Control and Direction (Continued)

Tasks	L.1*	L.2*	L.3*	L.4*	L.5	L.6	L.7	L.8	L.9	L.10	Total
Yes											
No											
N/A											

An Asterisk () after a task number denotes critical task item.*

Reconstitution Operations

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: Agencies must identify and outline a plan to return to normal operations once agency heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated.	
Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Identify and outline a reconstitution plan and procedures so that the agency is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once agency heads or their successors determined it is okay to return from all alternate facilities.		
Tasks Observed (check those that were observed and provide the time of observation)		
<i>Note: An Asterisk (*) after a task number denotes critical task item.</i>		
	Tasks/Observation Keys	Task Status
M.1*	Agency provided an executable plan for recovering from the effects of an emergency and transitioning back to efficient normal operational status from continuity operations status once a threat or disruption had passed. [FCD 1 Annex A, Page A-3, Bullet #7; FCD 1 Annex M, Page M-1, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.2	Agency plans or procedures include redeployment plans for phasing down alternate facility operations and returning operations, personnel, records, and equipment to the primary or other operating facility, when appropriate. [FCD 1 Annex N, Page N-5, Plans & Procedures, Bullet #8] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.3	Agency coordinated and preplanned options for agency reconstitution regardless of the level of disruption that originally prompted the agency to implement its continuity plan. [FCD 1 Annex M, Page M-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Activity 1: Identify and outline a reconstitution plan and procedures so that the agency is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once agency heads or their successors determined it is okay to return from all alternate facilities.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.4	Agency reconstitution plan included moving operations from the continuity or devolution locations to either the original operating facility or new operating facility. [FCD 1 Annex M, Page M-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.5	Agency outlined or referred to the necessary procedures, whether under a standard continuity scenario or a devolution scenario, for conducting a smooth transition from the relocation sites to a new facility. [FCD 1 Annex M, Page M-1, 1 st Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.6	Agency developed a plan or procedures to inform all personnel that the actual emergency or threat of an emergency no longer existed. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.7	Agency developed a plan or procedures to instruct personnel on how to resume normal operations. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.8	Agency developed a plan or procedures to supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.9	Agency developed a plan or procedures to verify that all systems, communications, and other required capabilities were available and operational and that the agency was fully capable of accomplishing all essential functions and operations at the new or restored facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Activity 1: Identify and outline a reconstitution plan and procedures so that the agency is fully capable of accomplishing all essential functions and normal operations at the new or restored facility once agency heads or their successors determined it is okay to return from all alternate facilities.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.10	Agency developed a plan or procedures to report the status of the relocation to the new or restored facility to the FEMA Operations Center (FOC) by contacting 540.665.6100 or at 800.634.7084. [FCD 1 Annex M, Page M-1, Implementation, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.11	Agency developed a plan or procedures to identify any records affected by the incident. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.12	Agency developed a plan or procedures to work with its records office (or similar function in the agency) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Activity 2: Develop plans and procedures to identify areas for improvement and remedy these items during agency reconstitution activities to improve the agency's capability to execute its continuity program, plans, and procedures and perform its essential functions during all continuity events.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
M.13	Agency developed a plan or procedures to conduct an after-action review of the effectiveness of the continuity plans and procedures. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.14	Agency developed a plan or procedures to identify areas for improvement from the after-action review. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.15	Agency developed a plan or procedures to document findings in the agency corrective action plan (CAP). [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
M.16	Agency developed a remedial action plan as soon as possible after the reconstitution. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Reconstitution Operations (Continued)

Tasks	M.1*	M.2	M.3	M.4	M.5	M.6	M.7	M.8	M.9	M.10	M.11	M.12	M.13	M.14	M.15	M.16	Total
Yes																	
No																	
N/A																	

An Asterisk () after a task number denotes critical task item.*

Operational Phases and Implementation

Element Color Determination: _____

Exercise Evaluation Guide

Capability Description: An agency must be prepared to implement executive decisions that are based upon a review of the emergency, and determine the best course of action based on agency's readiness posture. The agency should integrate implementation procedures and criteria into its continuity plans. The agency's continuity plan must address the four phases of (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These actions are to ensure continuation of the agency's essential functions before, during, and after an emergency or disaster and under all conditions.

Jurisdiction or Organization:	Name of Exercise:
Location:	Date and Period of Time Evaluated:
Evaluator:	Evaluator Contact Info:

Activity 1: Respond to continuity events through completion of agency readiness, preparedness, and activation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.1*	Agency followed its procedures for the readiness and preparedness phase within its continuity plan or within a separate implementation plan. [FCD 1 Annex N, Page N-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.2*	Agency followed its procedures for the activation and relocation phase within its continuity plan or within a separate implementation plan. [FCD 1 Annex N, Page N-1, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 1: Respond to continuity events through completion of agency readiness, preparedness, and activation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.3	Agency utilized its decision matrix for continuity plan activation that addresses with and without warning events, those occurring during duty hours and non-duty hours, in making the decision to activate the agency continuity plan. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.4	Agency notified all employees (continuity essential personnel and non-deployed personnel) of a continuity event. [FCD 1 Annex J, Page J-3, Bullet #4; FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #2d] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.5	Agency activated personnel, vital records and databases, and equipment involved with the continuation of essential functions with minimal disruption. [FCD 1 Annex N, Page N-4, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.6	Agency accounted for all personnel. [FCD 1 Annex J, Page J-3, Bullet #4 ; FCD 1 Annex N, Page N-5, Continuity Operations, Activities, Bullet #1]	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.7	Agency communicated instructions and operating status with continuity personnel before, during, and after a continuity event. [FCD 1 Annex J, Page J-1, Bullet #1; FCD 1 Annex J, Page J-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.8	Agency utilized its human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities), as needed, to help the agency continue essential functions during an emergency. [FCD 1 Annex J, Page J-3, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 2: Respond to continuity events through completion of agency relocation plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions..

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.9	Agency subordinate organizations notified their agency HQ upon activation of their continuity plans and of the time of execution or activation of call-down procedures. [FCD 1 Annex N, Page N-4, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.10	Agency HQ Points of Contact (POCs) notified the FOC, as well as other appropriate agencies, of any continuity activation within the agency or subordinate organizations and of the time of execution or activation of call-down procedures. [FCD 1 Annex N, Page N-4, Paragraph 2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.11	Agency notified alternate facilities and on-site support teams of an activation and relocation. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #2a] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.12	Agency notified the FOC of its continuity activation and relocation status, the agency's alternate location, operational and communications status, and anticipated duration of relocation. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #2b]	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.13	Agency notified other POCs, agencies that the affected agency interacts with, customers, and stakeholders of the activation of continuity plans and status. [FCD 1 Annex N, Page N-5, Activation & Relocation, Plans & Procedures, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.14	Agency personnel followed the continuity plan instructions on moving personnel and vital records to its alternate facilities. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullets #3 & #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.15	Agency personnel utilized drive-away kits, as applicable. [FCD 1 Annex N, Page N-4, Activation & Relocation, Plans & Procedures, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 3: Respond to and attain operational capability during continuity events through completion of agency continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.16*	Agency demonstrated the capability to perform its Primary Mission Essential Functions (PMEFs) within 12 hours after an event and under all threat conditions, from its alternate facilities, to include virtual office options including telework, including the ability to maintain this capability for up to 30 days after an event or until normal business activities can be resumed. [FCD 1 Annex A, Page A-3, Bullet #17; FCD 1 Annex G, Page G-1, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.17*	Agency attained operational capability and demonstrated the capability to perform its Mission Essential Functions (MEFs) at its continuity sites with minimal disruption to operations, within 12 hours of activation. [FCD 1 Annex N, Page N-4, Paragraph 1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.18*	Agency transitioned responsibilities from the primary operating facility to the deployed continuity personnel, once they are in place at the continuity facilities. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.19*	Agency personnel stationed at the designated devolution site, with the appropriate authorities, skills and abilities, performed the agency's essential functions and activities when the devolution option of the continuity plan is activated. [FCD 1 Annex L, Page L-1, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.20*	Agency identified all available agency leadership at its alternate facilities and conducted the orderly and pre-defined transition of leadership, for the position of agency head as well as for key supporting positions, in accordance with its delegations of authority, as applicable during an emergency. [FCD 1 Annex F, Page F-1, Bullet #4; FCD 1 Annex N, Page N-4, Activation & Relocation Phases, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 3: Respond to and attain operational capability during continuity events through completion of agency continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.21*	Agency alternate facilities provided a sufficient quantity and mode/media of interoperable and available redundant and survivable communication capabilities to enable performance of all essential functions. [FCD 1 Annex G, Page G-4, Bullet #8; FCD 1 Annex H, Page H-1, Bullet #2; FCD 1 Annex H, Page H-1, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.22	Agency procured necessary equipment/supplies needed to support and continue essential functions and sustain operations, which are not already in place. [FCD 1 Annex N, Page N-5, Activation & Relocation, Plans & Procedures, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.23	Agency conducted reception and in-processing of continuity personnel. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.24	Agency continuity personnel understood their roles and responsibilities. [FCD 1 Annex J, Page J-2, Paragraph 3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.25	Agency provided guidance to non-deployed personnel. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.26	Agency alternate facilities, to include virtual office options including telework, provided the capabilities to access and use vital records necessary to facilitate the performance of essential functions within twelve hours of a COOP activation, to include having access to the appropriate media for accessing vital records such as local area network, electronic versions of vital records, supporting information systems and data, internal and external e-mail and e-mail archives and hard copies of vital records. [FCD 1 Annex G, Page G-1, Bullet #7; FCD 1 Annex I, Page I-2, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 3: Respond to and attain operational capability during continuity events through completion of agency continuity operations plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.27	Agency delegations of authority were available at continuity locations, to include devolution sites if applicable. [FCD 1 Annex F, Page F-1, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.28	Agency identified and alerted replacement personnel and augmentees, as necessary. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.29	Agency complied with any additional continuity reporting requirements from the FOC. [FCD 1 Annex N, Page N-5, Continuity Operations, Plans & Procedures, Bullet #7] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.30	Agency alternate facilities provided sufficient levels of physical security to protect against all threats as identified in the facility's risk assessment and physical-security surveys by the agency's security office, the Federal Protective Service, or a qualified contractor, to include identifying technologies that control site access, conduct site surveillance, and provide early warning of unauthorized intrusion as part of the alternate facility's physical security program. [FCD 1 Annex G, Page G-5, Planning Considerations, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.31	Agency alternate facilities, to include virtual office options including telework, provided sufficient levels of information security to protect against all threats as identified in the facility's risk assessment and information security surveys by the agency's Information Technology office. [FCD 1 Annex G, Page G-5, Planning Considerations, Bullet #9] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 4: Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of agency reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.32*	Agency verified that all systems, communications, and other required capabilities were available and operational at the new or restored facility and that the agency was fully capable of accomplishing all essential functions and operations at the new or restored facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.33	Agency accessed the status of affected facilities. [FCD 1 Annex N, Page N-5, Reconstitution, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.34	Agency determined how much time is needed to repair the affected facility and/or to acquire a new facility. [FCD 1 Annex N, Page N-5, Reconstitution, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.35	Agency supervised facility repairs. [FCD 1 Annex N, Page N-5, Reconstitution, Bullet #3] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.36	Agency notified decision makers of the status of repairs, including estimates of when the repairs will be completed. [FCD 1 Annex N, Page N-6, Reconstitution, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.37	Agency implemented a priority-based phased approach to reconstitution. [FCD 1 Annex N, Page N-6, Reconstitution, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 4: Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of agency reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.38	Agency informed all personnel that the actual emergency or threat of an emergency no longer existed. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.39	Agency instructed personnel on how to resume normal operations. [FCD 1 Annex M, Page M-1, Implementation, Bullet #1] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.40	Agency supervised a return to the normal operating facility or a move to another temporary or permanent primary operating facility. [FCD 1 Annex M, Page M-1, Implementation, Bullet #2] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.41	Agency reported the status of the relocation to a new or restored facility to the FEMA Operations Center (FOC), to include submitting a Continuity Status Reporting Form only if this form contains more information beyond what has been reported to the FOC, using the form and procedures provided by FEMA's National Continuity Programs Directorate. [FCD 1 Annex M, Page M-1, Implementation, Bullet #4] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.42	Agency identified any records affected by the incident. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.43	Agency worked with its records office (or similar function in the agency) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort. [FCD 1 Annex M, Page M-1, Implementation, Bullet #6] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Activity 4: Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of agency reconstitution and corrective action plans and procedures to ensure the performance of all essential functions before, during, and after all emergencies and disasters and under all conditions.

Tasks Observed (check those that were observed and provide the time of observation)

Note: An Asterisk () after a task number denotes critical task item.*

	Tasks/Observation Keys	Task Status
N.44	Agency conducted an after-action review upon return to its restored or new primary facility to determine the effectiveness of its continuity of operations plans and procedures. [FCD 1 Annex N, Page N-6, Reconstitution, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.45	Agency after-action review of its continuity of operations plans and procedures identified aspects of the continuity of operations plans and procedures that needed correction along with areas for improvement and assigned responsibility for making those corrections and improvements. [FCD 1 Annex N, Page N-6, Reconstitution, Last Paragraph] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.46	Agency documented findings in the agency corrective action plan (CAP). [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
N.47	Agency developed a remedial action plan as soon as possible after the reconstitution. [FCD 1 Annex M, Page M-1, Implementation, Bullet #5] Comments:	Completed? Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

Operational Phases and Implementation (Continued)

Tasks	N.1*	N.2*	N.3	N.4	N.5	N.6	N.7	N.8	N.9	N.10	N.11	N.12	N.13	N.14	N.15	N.16*	Total
Yes																	
No																	
N/A																	

Tasks	N.17*	N.18*	N.19*	N.20*	N.21*	N.22	N.23	N.24	N.25	N.26	N.27	N.28	N.29	N.30	N.31	N.32*	Total
Yes																	
No																	
N/A																	

Tasks	N.33	N.34	N.35	N.36	N.37	N.38	N.39	N.40	N.41	N.42	N.43	N.44	N.45	N.46	N.47	Total
Yes																
No																
N/A																

An Asterisk (*) after a task number denotes critical task item.

Appendix E: Continuity Assistance Tool



Continuity Assistance Tool (CAT)

Continuity Assistance for Non-Federal Entities

(States, Territories, Tribal, and Local Government Jurisdictions
and Private Sector Organizations)

July 2009



FEMA

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CONTINUITY ASSISTANCE TOOL OVERVIEW

PURPOSE

This Continuity Assistance Tool (CAT) provides guidance and assistance for States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations (collectively referred to herein as “organizations”) to identify continuity program strengths and areas for improvement.

BACKGROUND

National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) *National Continuity Policy* was issued by the President to establish and maintain a comprehensive and effective national continuity capability. The National Continuity Policy Implementation Plan (NCPIP) builds upon the Policy and provides guidance to executive departments and agencies and non-Federal entities (including State, local, tribal, and territorial governments, and the private sector) on identifying and carrying out their Essential Functions to lead and sustain the Nation during a catastrophic emergency. The NCPIP also encourages coordination among Federal, State, local, tribal, and territorial governments and the private sector to achieve a comprehensive and integrated continuity capability. Through this collaborative effort, our national security posture can be enhanced to enable a more rapid and effective response to, and recovery from, a national emergency.

The Federal Emergency Management Agency (FEMA), in coordination with its non-Federal partners developed Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Entities, States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations*, to provide operational guidance to implement the NCPIP. This assistance tool captures the key elements necessary for organizations to create a comprehensive continuity program and plan, as described in CGC 1, and provides a method to review those continuity programs and plans.

Continuity programs and operations are fundamental practices that allow critical services to remain available under all conditions. The CAT was created to establish industry-wide benchmarks for the management, overall performance, and readiness of organizations to respond to a continuity event. The tool allows for organizations throughout the United States to examine their continuity capability by utilizing an easy-to-use national and uniform method to identify gaps in continuity programs and justify the funding and resources needed for improvements. Through identifying and filling these gaps, viable continuity programs can be established to help keep organizations functioning during emergencies.

The CAT is useful for all organizations regardless of location, size and status of existing continuity programs or plans. The tool describes the elements necessary to establish and maintain a viable continuity capability and can assist with establishing a foundation and framework for building a comprehensive program. If an organization does not have an existing program, the CAT can be used as a checklist to create an initial continuity plan and program.

BENEFITS OF THE CAT

The CAT:

1. Allows for comprehensive continuity program review.
2. Defines/refines continuity program baseline for strategic planning to correct deficiencies and achieve the required capabilities.
3. Provides program orientation for new staff members and leaders.
4. Creates a framework for budget, staff, and resource justification.
5. Enables the development of plans to rectify deficiencies.

ABOUT THE CAT

The CAT process is designed to guide the operational readiness and capabilities of organizations to help ensure the performance of Essential Functions and services under any circumstance. The tool is divided into two continuity categories: (1) Elements of a Viable Continuity Capability and (2) Continuity Program Foundation. These categories are further grouped into **Continuity Management Functions (CMF)** that describes specific key components of continuity.

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

Continuity Guidance Circular 1 describes ten elements that are necessary, to establish and maintain a comprehensive and effective continuity capability. The ten elements of a viable continuity capability are:

- 1.1 Essential Functions
- 1.2 Orders of Succession
- 1.3 Delegations of Authority
- 1.4 Continuity Facilities
- 1.5 Continuity Communications
- 1.6 Vital Records Management
- 1.7 Human Capital
- 1.8 Test, Training, and Exercise Program
- 1.9 Devolution of Control and Direction
- 1.10 Reconstitution Operations

2. CONTINUITY PROGRAM FOUNDATION

An organization's resiliency is built upon a foundation of continuity planning and continuity program management. This foundation is comprised of (1) plans and procedures to help guide leadership during a crisis, (2) risk management initiatives to identify, control, and minimize the impact of uncertain events, (3) adequate budgeting and resource allocation to support resiliency efforts, and (4) operational phases that help guide implementation of the continuity plan during various phases of a continuity event. The four supporting components of a Continuity Program Foundation are:

- 2.1 Program Plans and Procedures
- 2.2 Risk Management
- 2.3 Budgeting and Acquisition of Resources
- 2.4 Continuity Plan Operational Phases and Implementation (*included as the separate Appendix A due to its unique nature*)

These CMFs are described in detail in CGC 1 (see Appendix B: References), and are summarized on pages v and vi. The guidance document addresses common attributes of continuity programs and provides detailed suggestions of how to create a viable continuity capability. However, some CMFs may not be appropriate for all organizations and may be excluded if they are not applicable.

Each CMF is subdivided into **Attributes**, and these attributes are further subdivided into **Characteristics**. **Attributes** are broad criteria by which the performance of a CMF in a particular area can be addressed. **Characteristics** are detailed criteria that further clarify the area being assessed.

The CAT questions are subjective in nature. Therefore, it is reasonable to expect some variability from organization to organization when characteristics are reviewed. This flexibility is acceptable, since no two organizations' continuity programs are identical.

Organizational leadership and other personnel supporting continuity plans and programs are encouraged to enroll in the Continuity of Operations Excellence Series. The series provides a curriculum for certification as either a Professional Continuity Practitioner (Level I) or Master Continuity Practitioner (Level II). This training will assist organizations develop and execute continuity functions. The Continuity Practitioner requirements list can be found in Appendix C. Additional continuity training information can be found at <http://www.fema.gov/about/org/ncp/index.shtm>.

CAT PROCESS

The process provided below is the recommended method to apply this tool:

Step 1: The continuity manager meets with functional representatives (i.e., IT manager, HR manager, Security managers, etc.) of the organization to review the CAT.

Step 2: With the assistance of the continuity manager, the functional representatives review their respective characteristics.

Answer each characteristic “Yes”, “No”, or “Not Applicable” (N/A). Flexibility is built into the assistance tool. Therefore, “Not Applicable” (N/A) may be used for those characteristics that do not apply.

Some characteristics are identified as “critical” and are denoted with an asterisk (*) following the number. These critical characteristics represent high priority criteria necessary for functional continuity programs and plans. Responding “No” for these characteristics denote primary areas of focus for the organization. Funding and resources should be appropriately allocated to fulfill these critical areas to build a viable continuity capability.

Step 3: For each characteristic, a “comments” section is provided to enter any helpful notes.

Step 4: For each CMF, tally all Characteristics to obtain the “Yes”, “No”, and “N/A” CMF totals. Record this tally in the CMF header.

Step 5: Capture each CMF total in Table 2 - Continuity Management Functions Summary on page ix.

CONTINUITY MANAGEMENT FUNCTIONS FOR CONTINUITY ASSISTANCE TOOL

The Continuity Management Functions in this tool are defined as follows. For further information, please refer to CGC-1.

1. ELEMENTS OF A VIABLE CONTINUITY CAPABILITY

1.1 ESSENTIAL FUNCTIONS

The limited set of organization level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities.

1.2 ORDERS OF SUCCESSION

Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

1.3 DELEGATIONS OF AUTHORITY

Identification, by position, of the authorities for making policy determinations and decisions at HQ, field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

1.4 CONTINUITY FACILITIES

Continuity facilities are locations from which leadership and critical positions may operate during a continuity event. These may include one or many facilities or virtual offices from which to continue essential operations.

1.5 CONTINUITY COMMUNICATIONS

Continuity communications are the systems that support full connectivity among leadership, internal elements, and other organizations to perform Essential Functions during a continuity event.

1.6 VITAL RECORDS MANAGEMENT

Vital records management is the identification, protection, and availability of information systems and applications, electronic and hardcopy documents, references, and records needed to support Essential Functions during a continuity event.

1.7 HUMAN CAPITAL

Human capital involves policies, plans, and procedures that address human capital needs during a continuity event, such as guidance on pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities.

1.8 TEST, TRAINING, AND EXERCISE (TT&E) PROGRAM

An effective TT&E program identifies, trains, and prepares personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of Essential Functions. Training provides the skills and familiarizes personnel with procedures and tasks. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities.

1.9 DEVOLUTION OF CONTROL AND DIRECTION

Devolution is the capability to transfer statutory authority and responsibility for Essential Functions from primary operating staff and facilities to other employees and facilities. It also provides the means to sustain that operational capability for an extended period.

1.10 RECONSTITUTION OPERATIONS

Reconstitution planning is the process by which organizations/personnel resume normal operations from the original or a replacement primary operating facility.

2. CONTINUITY PROGRAM FOUNDATION

2.1 PROGRAM PLANS AND PROCEDURES

Continuity planning is an effort to document the existence of, and seek the capability to continue Essential Functions during a wide range of potential emergencies.

2.2 RISK MANAGEMENT

Risk management is a process to identify, control, and minimize the impact of uncertain events. This process organizes information to provide decision makers with information about risks to the organization's readiness, and to provide them with options for risk mitigation.

2.3 BUDGETING AND ACQUISITION OF RESOURCES

The budgeting and planning process can help organizations provide the critical continuity resources necessary to continue performing Essential Functions before, during, and after a continuity event.

2.4 CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION

Organizations must be prepared to implement executive decisions that are based upon a review of the emergency, and then determine the best course of action based on readiness posture. Organizations should integrate implementation procedures and criteria into their continuity plans. The continuity plan must address four phases of: (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These factors are most easily reviewed during an exercise or actual event. Therefore, they have been separated from the main tool and appear as Appendix A.

GENERAL INFORMATION

This section is provided to revisit an organization’s community information and continuity experience prior to starting the Continuity Assistance Tool. The preliminary questions asked below help “set the stage” for assisting an organization’s continuity program by refreshing the specifics of community, landscape, potential hazards, and continuity experience.

CONTACT INFORMATION

Organization Name: _____

Organization Location: _____

Continuity Manager Name: _____

Continuity Manager Telephone: _____

Continuity Manager Fax: _____

Continuity Manager Email: _____

GENERAL COMMUNITY INFORMATION

1. In which FEMA region(s) is your organization’s community located?

<input type="checkbox"/> I	<input type="checkbox"/> V	<input type="checkbox"/> IX
<input type="checkbox"/> II	<input type="checkbox"/> VI	<input type="checkbox"/> X
<input type="checkbox"/> III	<input type="checkbox"/> VII	
<input type="checkbox"/> IV	<input type="checkbox"/> VIII	

2. What are the primary natural hazards to your organization?
 - Hurricane
 - Tornado
 - Flooding
 - Earthquake
 - Other

3. What are the primary industrial hazards to your organization?
 - Nuclear test site/transportation route
 - Military bombing site
 - Radioactive waste site
 - Nuclear reactor
 - Other
 - None

4. What does the physical landscape of the community in which your organization operates resemble?
 - Desert
 - Mountainous/Hilly
 - Flat and/or Treeless
 - Forested
 - Grassy; Plains area

5. What body of water is your organization situated near? (Mark as many boxes as appropriate)
 - River
 - Lake
 - Ocean
 - None

CONTINUITY EXPERIENCE

1. Does your organization have a continuity plan?
 Yes
 No
 N/A

2. Has your organization participated in Continuity exercises?
 Yes
 No
 N/A

3. Has your organization had to activate their continuity of operations plan?
 Yes
 No
 N/A

4. Who is in charge of your Continuity Program?
 Emergency Management
 Safety
 Security Department
 Other

5. What type of guidance does your organization use in developing its continuity of operations plans and programs?
 Federal Guidance
 State/Local Guidance
 Commercial Guidance
 Other

CONTINUITY MANAGEMENT FUNCTIONS SUMMARY

Table 1: Continuity Management Functions Summary

Continuity Category	CMF	Continuity Management Function	Total Yes	Total No	Total N/A
Elements of a Viable Continuity Capability	1.1	Essential Functions			
	1.2	Orders of Succession			
	1.3	Delegations of Authority			
	1.4	Continuity Facilities			
	1.5	Continuity Communications			
	1.6	Vital Records Management			
	1.7	Human Capital			
	1.8	Test, Training, and Exercise Program			
	1.9	Devolution of Control and Direction			
	1.10	Reconstitution Operations			
Continuity Program Foundation	2.1	Program Plans and Procedures			
	2.2	Risk Management			
	2.3	Budgeting and Acquisition of Resources			
	2.4	Continuity Plan Operational Phases and Implementation (Appendix A)			

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CONTINUITY ASSISTANCE TOOL

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.1 ESSENTIAL FUNCTIONS		Number of Yes:		
<p>A subset of overall organization activities that are determined to be critical. These functions enable the organization to provide vital services, exercise civil authority, maintain the safety of the community, and sustain the industrial/economic base during an emergency. The functions must be continued under any and all circumstances.</p>		Number of No:		
		Number of N/A:		
		Attribute		
<i>1.1.1</i>	<i>Identify and prioritize all Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.1.1*	Has the organization identified its Essential Functions and documented them in its continuity plan? [CGC 1 Annex D, Page D-1]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.1.2	Has the organization documented all of the requirements and procedures needed to perform Essential Functions, such as the establishment of contingency plans in the event that key resources are not available? [CGC 1 Annex A, Page A-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.1.3	Does the organization review its Essential Functions to determine those directed by applicable laws and statutory authorities? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.1.1.4	<p>Has the organization conducted a Business Process Analysis (BPA) to determine the Essential Functions that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency? [CGC 1 Annex D, Page D-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.1.2	<i>Identify and prioritize all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.2.1	Has the organization conducted a BPA to identify and map the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified essential function? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.2.2	Has the organization head or designee validated and approved the identified Essential Functions? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.2.3	Has the organization head or designee validated and approved the BPA? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.2.4	Has the organization determined the Essential Functions that need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance? [CGC 1 Annex D, Page D-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.1.3	<i>Identify and consider the interdependencies needed to perform all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.3.1	Has the organization identified how each Essential Function is performed and executed, using a business-process flow map? [CGC 1 Annex D Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.3.2	Has the organization identified internal and external interdependencies that are part of and/or influence each Essential Function business process? [GCG 1 Annex D Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Attribute				
1.1.4	<i>Identify and consider the interdependencies needed to perform all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.4.1	Has the organization identified those Essential Functions that provide interdependent support to an Essential Function performed by another organization or to an Emergency Support Function (ESF) under the National Response Framework (NRF)? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.4.2	Has the organization identified those Essential Functions that require vital support from another organization to ensure the execution of their mission? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.1.4.3	Do the organization's continuity plans and procedures include considerations for the particular interdependencies identified within the BPA for each Essential Function, to include identifying when and where each interdependency would be executed? [CGC 1 Annex D, Page D-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.2 ORDERS OF SUCCESSION Provisions that enable an orderly and predefined transition of organizational leadership positions if an organization’s leader is incapacitated or becomes otherwise unavailable during a continuity event.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.2.1	<i>Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws.</i>			
Characteristics				
1.2.1.1*	Are the orders of succession for the position of the organization’s head identified, and current, with revisions distributed to the organization’s personnel as changes occurred? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.1.2*	Are the orders of succession for other key positions for the organization, including but not limited to administrators, regional or field directors, key managers, other key essential personnel or their equivalent positions identified in the organization’s continuity plan and current? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.1.3*	Is the order of succession at least three positions deep, include devolution counterparts when applicable, and geographically dispersed where feasible? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.2.1.4	Does the organization describe its orders of succession by positions or titles, rather than by the names of the individuals holding those offices? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.2.2	<i>Identify and document a clear line of succession in the absence of leadership during the course of any emergency to enable an orderly and predefined transition of leadership within the organization in accordance with applicable laws and directives.</i>			
Characteristic				
1.2.2.1	Is the order of succession reviewed by the organization's general counsel (legal review) as changes occur? [CGC 1 Annex E]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.2.2	Does the order of succession identify the rules and procedures designated officials must follow when facing issues of succession to office during continuity events and reference the applicable laws? [CGC 1 Annex E]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.2.3	Does the organization include temporal, geographical, and/or organization limitations to the authorities in its orders of succession procedures? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.2.4	Does the organization include orders of succession as a vital record and are copies accessible and/or available at the primary, alternate, and other continuity facilities? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.2.3	<i>Notify and train successors to leadership positions within the organization, with all training sessions recorded within the organization's training records.</i>			
Characteristics				
1.2.3.1	Does the organization include the method used to notify successors of their change in leadership status in its orders of succession procedures? [CGC 1 Annex E, Page E-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.2.3.2	Does the organization conduct annual successor training for all personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation, to include briefing successors to the position of the organization's head on their duties and responsibilities as a successor, as reflected within the organization's training records? [CGC 1 Annex E, Page E-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.3 DELEGATIONS OF AUTHORITY Specify who is authorized to act on behalf of the organization’s chief, chairman, elected leader, and other key leaders for specified purposes. They ensure that designated individuals have the legal authority to carry out their duties.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.3.1	<i>Identify and document the delegation of authority to make policy determinations and decisions for key organizational leadership positions at the headquarters (HQ), regional, field, satellite, and other levels and other organization’s locations, as appropriate, to ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation.</i>			
Characteristics				
1.3.1.1*	Do the organization’s delegation of authority document in advance (where designated) the legal authority for officials (including those below the level of the organization’s head) to make key policy decisions during a continuity situation? [CGC 1, Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.3.1.2*	Do the organization’s delegations of authority outline explicitly in a statement the authority of an official so designated to exercise the organization’s direction? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.3.1.3	Does the organization included delegations of authority in the vital records? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.3.1.4</p>	<p>Are the organization’s delegations of authority written in accordance with applicable laws ensuring that the organization’s Essential Functions are performed? [CGC 1 Annex F, Page F-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.3.1.5</p>	<p>Do the organization’s delegations of authority delineate the limits of and any exceptions to the authority and accountability for officials? [CGC 1 Annex F, Page F-1].</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.3.1.6</p>	<p>Do the organization’s delegations of authority outline explicitly in a statement, the authority of an official to re-delegate functions and activities, as appropriate? [CGC 1 Annex F, Page F-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.3.1.7</p>	<p>Do the organization’s delegations of authority define the circumstances, to include a devolution situation if applicable, under which delegation of authorities would take effect and would be terminated? [CGC 1 Annex F, Page F-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.3.2	<i>Inform and train key officials on the organization delegations of authority, recording all training sessions within the organization training records, so that the organization can transfer leadership authority in an orderly manner, when applicable, during a response to any emergency.</i>			
Characteristic				
1.3.2.1*	Does the organization inform those officials who might be expected to assume authorities during a continuity situation, as required by its delegations of authority? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.3.2.2	Does the organization train these at least annually, for all pre-delegated authorities for making policy determinations and other decisions, at the headquarters, field, satellite, and other organizational levels, as appropriate, and as reflected in the organization's training records? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.4 CONTINUITY FACILITIES Locations from which the organization leadership and critical positions may operate during a continuity event. This may include one or many facilities or virtual offices from which to continue essential operations.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.4.1	<i>Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, enduring operations under any circumstances.</i>			
Characteristics				
1.4.1.1*	Does the organization identify and maintain at least one alternate facility, which could include alternate usages of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff; located where the potential disruption of the organization’s ability to initiate and sustain operations is minimized? [CGC Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.1.2*	Do the organization’s alternate facilities have sufficient distance between each facility location or threatened area and other facilities (hazardous materials sites, nuclear power plants) or locations (areas subject to natural disasters such as hurricanes and earthquakes) that are potential sources of disruptions or threats, as determined by an all-hazards risk assessment of each facility? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.1.3*	Does the organization have a signed Memorandum of Agreement (MOA)/ Memorandum of Understanding (MOU) for all alternate facilities where it is co-located with another organization or for alternate facilities it neither owns nor leases, as applicable? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.4.1.4</p>	<p>Does the organization review all alternate facility leases and MOAs/MOUs annually? [CGC 1 Annex G, Page G-4]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.5</p>	<p>Does the organization have an all-hazards risk assessment that includes identification of all hazards that may affect each facility, for all continuity facilities? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.6</p>	<p>Does the organization risk assessment include a vulnerability assessment that determines the effects of all hazards on each facility? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.7</p>	<p>Does the organization risk assessment include a cost-benefit analysis of implementing risk mitigation, prevention, or control measures for each facility? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.8</p>	<p>Does the organization risk assessment include a formal analysis by management of acceptable risk for each facility? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.4.1.9</p>	<p>Does the organization reevaluate its alternate facilities, to include virtual office options including telework, for suitability and functionality, at least annually and whenever the organization's continuity plans are reviewed and updated? [CGC 1 Annex G, Page G-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

1.4.1.10	Does the organization identify alternate facilities and provide the necessary data, as identified in the CGC 1, on all continuity facilities? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.4.2	<i>Equip all organization's alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, enduring operations under any circumstances.</i>			
Characteristics				
1.4.2.1*	Do the organization's alternate facilities include considerations for health, safety, and security of employees who have been relocated to all alternate sites, to include food, water, and hygiene products in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resume?. [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.2*	Do the organization's alternate facilities, to include virtual office options including telework, include reliable logistical support, services, and infrastructure systems, to include information technology technical support; fuel; medical services and facilities; municipal services; and power, in sufficient quantities to sustain operations and to carry out Essential Functions for up to 30 days or until normal business activities can be resumed? [CGC 1 Annex G, Page G-5]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.3*	Do the organization's alternate facilities, to include virtual office options including telework, provide sufficient space, equipment and other resources, to include computer equipment, software, and other automated data processing equipment, to sustain the organization's Essential Functions, as appropriate, Emergency Relocation Group (ERG), and support staff? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.2.4	Does the organization establish procedures for the orientation of continuity personnel on the alternate facilities? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.4.2.5</p>	<p>Does the organization establish procedures for conducting operations and administration at all alternate facilities? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>1.4.2.6</p>	<p>Does the organization evaluate daily operating facilities for hardness (i.e. identify “hardness”) in accordance with applicable organizational standards? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>1.4.2.7</p>	<p>Do the organization’s alternate facilities, to include virtual office options including telework, replicate essential capabilities by providing systems and configurations that are used in daily activities? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>1.4.2.8</p>	<p>Do the organization’s plans and procedures identify the interoperable communications systems, including the means for secure communications as appropriate, to allow for effective interaction with identified essential internal and external organizations, as well as with customers and the public, needed at all alternate facilities, to include virtual office options including telework? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>1.4.2.9</p>	<p>Do the organization’s alternate facilities, to include virtual office options including telework, have pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification? [CGC 1 Annex G, Page G-4]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>

Attribute				
1.4.3	<i>Provide survivable protection and sustain continued, endurable operations under any circumstances from all organization's alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework.</i>			
Characteristics				
1.4.3.1*	Do the organization's alternate facilities maintain emergency/back-up power capability, so that Essential Functions and operations continue in the event the primary source of power is disrupted? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.3.2	Within the past year, has the organization trained and prepared their personnel for the possibility of an unannounced relocation to all alternate facilities, to include virtual office options, telework, as reflected in the organization's training records? (Training date and those attending the training should be documented) [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.3.3	Do the organization's alternate facilities define a transportation support plan and transportation resource requirements, to include transportation to/from the site and on the site, as applicable, that describes procedures for continuity events both with warning and with no warning? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.4.3.4	Does the organization continuity plans address housing to support continuity personnel at or near the alternate facility sites? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.5	CONTINUITY COMMUNICATIONS The systems that support full connectivity among the organization’s leadership, internal elements, and other organizations to perform Essential Functions during a continuity event.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.5.1	<i>Identify and acquire effective communications systems that support full connectivity, under all conditions, among key government leadership, internal elements, other agencies, critical customers, and the public.</i>			
Characteristics				
1.5.1.1*	Does the organization implement minimum communications requirements, as deemed appropriate, for its primary and continuity facilities, which support the continuation of the organization’s Essential Functions? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.1.2*	Does the organization possess, operate, and maintain or have dedicated access to, communications capabilities at both their primary facility and continuity-facility locations, as well as mobile communications capabilities to ensure the continuation of those organization’s functions across the full spectrum of hazards, threats, and emergencies, including catastrophic attacks or disasters? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.1.3	Does the organization possess communications capabilities that support the organization’s senior leadership while they are in transit to alternate facilities? [CGC 1 Annex H, Page H-1, Bullet #3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.5.1.4	Does the organization have a signed agreement between organizations sharing a continuity facility, which ensures that each one has adequate access to communications resources? [CGC 1 Annex H, Page H-1, Bullet #6]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.5.2	<i>Verify that organization communications systems meet all the organization’s needs, including those mandated by applicable directives and regulations, and train organization’s personnel on and test all continuity communications systems that support full connectivity, under all conditions.</i>			
Characteristics				
1.5.2.1	Does the organization maintain and have readily available a communications system for a period of sustained usage of no less than 30 days, or until normal operations can be reestablished? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.2.2	Does the organization train continuity personnel, as appropriate, in the use of the communications capabilities and information technology (IT) systems to be used during a continuity event, as reflected in the organization’s training records? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.2.3	Does the organization satisfy the requirement to provide assured and priority access to communications resources, as applicable? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.5.2.4	Does the organization maintain fully capable continuity communications that could support the organization’s needs during all hazards, to include a pandemic and other related emergencies and giving full consideration to supporting social distancing operations including telework and other virtual offices? [CGC 1 Annex H, Page H-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.6 VITAL RECORDS MANAGEMENT The identification, protection, and availability of information systems and applications, electronic and hardcopy documents, references, and records needed to support Essential Functions during a continuity event.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.6.1	<i>Identify all vital records needed to continue Essential Functions and to resume normal operations throughout all phases of a continuity event.</i>			
Characteristics				
1.6.1.1*	Does the vital records program identify and protect those records that specify how the organization will immediately operate and continue to operate during a continuity situation? [CGC 1 Annex I, Page I-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.1.2*	Does the vital records program identify those records needed to protect the legal and financial rights of the organization and citizens? [CGC 1 Annex I]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.1.3	Does the organization incorporate its vital records program into the overall continuity program, plans, and procedures? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.1.4	Does the organization's vital records program include appropriate policies, authorities, procedures and the written designation of a vital-records manager? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.6.1.5	Does the organization maintain a complete inventory of vital records along with locations of and instructions on accessing those records? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.6.2	<i>Maintain access to all vital records needed to continue Essential Functions and to resume normal operations throughout all phases of a continuity situation.</i>			
Characteristics				
1.6.2.1*	Are the vital records, at a minimum, annually reviewed, rotated, or cycled so that the latest version will be available? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.2.2	Is the organization inventory of vital records maintained at an alternate site? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.2.3	Does the organization identify the risks involved if the vital records are retained in current locations and media and the difficulty of reconstituting them if they are destroyed? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.2.4	Does the organization ensure appropriate protections of vital records including the dispersing of those records to other locations? [CGC 1 Annex I, Page I-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.6.3	<i>Create and maintain a vital records plan packet for the organization that includes all applicable materials needed during continuity operations.</i>			
Characteristics				
1.6.3.1	Has the organization developed and maintained a vital records plan packet or collection that includes a hard copy or electronic list of key organizational personnel and continuity personnel with up-to-date telephone numbers? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.2	Has the organization developed and maintained a vital records plan packet or collection that contains an inventory with precise locations of vital records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.3	Has the organization developed and maintained a vital records plan packet or collection that contains the necessary keys or access codes, if required, for operations? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.4	Has the organization developed and maintained a vital records plan packet or collection that list alternate operating facility locations? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.3.5	Has the organization developed and maintained a vital records plan packet or collection that has a listing of the access requirements and sources of equipment necessary to access the records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.6.3.6</p>	<p>Has the organization developed and maintained a vital records plan packet or collection that list records recovery experts or vendors? [CGC 1 Annex I, Page I-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.6.3.7</p>	<p>Has the organization developed and maintained a vital records plan packet or collection that includes a copy of the organization's continuity plans? [CGC 1 Annex I, Page I-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.6.3.8</p>	<p>Has the organization reviewed its vital records plan packet or collection within the past year with the date and names of the personnel who conducted the review documented in writing to ensure that the information is current and with a copy of the review maintained at the organization's alternate facility? [CGC 1 Annex I, Page I-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.6.4	<i>Review, train, and test the organization's vital records program and capabilities, with all training and testing sessions recorded within the organization records.</i>			
Characteristics				
1.6.4.1*	Does the organization annually review the vital records program to address new security issues, identify problem areas, update information, and incorporate any additional vital records generated by new organizational programs or functions or by organizational changes to existing programs or functions? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.4.2	Does the organization conduct annual training regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data, if applicable) needed to support Essential Functions during a continuity situation for all staff involved in the vital records program, to include periodic briefings to managers about the vital-records program and its relationship to their vital-records and business needs, as reflected in the organization's training records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.6.4.3	Does the organization annually test its capabilities for protecting unclassified and classified (if applicable) vital records, and for providing access to them from the alternate facility, as reflected in the organization's testing records? [CGC 1 Annex I, Page I-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.7 HUMAN CAPITAL		Number of Yes:		
Policies, plans, and procedures that address human capital needs during a continuity event, such as guidance on: pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities.		Number of No:		
		Number of N/A:		
Attribute				
1.7.1	<i>Identify continuity leadership and staff and establish the organization’s human capital procedures and considerations that are adaptable to changing circumstances and a variety of emergencies, for use during a continuity plan activation.</i>			
Characteristics				
1.7.1.1*	Did the organization head or designee identify and designate those positions and personnel he or she judges to be critical to the organization’s operations in any given emergency situation as members of the Emergency Relocation Group (ERG)? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.1.2*	Do the organization’s ERG members possess the skill sets necessary to perform Essential Functions and supporting tasks? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.1.3	Does the organization identify and document its continuity personnel? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.1.4	Does the organization officially inform all continuity personnel of their roles or designations by providing written documentation to ensure that continuity personnel know and accept their roles and responsibilities? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.7.1.5	Has the organization established procedures for contacting and accounting for employees in the event of an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.1.6	Has the organization identified a human capital liaison from the organization's human resources staff to work with the Continuity Coordinator or Continuity Manager when developing or updating the organization's emergency plans? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.1.7	Do the organization's continuity programs, plans, or procedures include or reference organizational-specific guidance and direction for continuity personnel on human-capital issues? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.7.2	<i>Communicate and train organization's personnel on applicable human capital procedures and considerations related to continuity.</i>			
Characteristics				
1.7.2.1	Has the organization developed procedures to communicate how and the extent to which employees are expected to remain in contact with the organization during any closure situation? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.2.2	Do the organization's continuity personnel annually participate in their organization's continuity test, training, and exercise (TT&E) program, as reflected in the organization's training records? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.2.3	Does the organization provide guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.2.4	Does the organization make staff aware of and familiar with their human capital guidance, such as utilizing an intranet website or employee orientation briefing, in an effort to help the organization continue Essential Functions during an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.7.3	<i>Develop and integrate human capital strategies for all the organization's personnel during a continuity activation.</i>			
Characteristics				
1.7.3.1	Has the organization developed a process to communicate instructions with continuity personnel before, during, and after a continuity event? [CGC 1 Annex J, Page J-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.3.2	Has the organization developed a process to communicate the organization's operating status with all staff? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.3.3	Has the organization integrated human capital procedures for its facility and geographic region into its continuity plan, as appropriate? [CGC 1 Annex J, Page J-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.7.3.4	Has the organization developed a process to communicate their human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities) to managers in an effort to help organizations continue Essential Functions during an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.8 TEST, TRAINING, AND EXERCISE PROGRAM Identifies, trains, and prepares personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of the organization’s Essential Functions. Training provides the skills and familiarizes personnel with procedures and tasks. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.8.1	<i>Create, execute, and document an effective organization-wide continuity <u>testing</u> program that demonstrates, assesses, and improves an organization’s ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.1.1*	Has the organization developed and maintained a continuity Test, Training, & Exercise (TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continuation of the performance of Essential Functions? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.2*	Does the organization conduct annual testing of alert, notification, and activation procedures for all continuity personnel? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.3*	Does the organization conduct annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.8.1.4*</p>	<p>Does the organization test and validate equipment to ensure the internal and external interoperability and viability of communications systems, through quarterly testing of the continuity communications capabilities outlined in CGC 1 Annex H (e.g., nonsecure and secure, if applicable, voice and data communications)? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.1.5*</p>	<p>Does the organization annually test the capabilities required to perform the organization's Essential Functions, as identified in the Business Process Analysis (BPA)? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.1.6</p>	<p>Does the organization conduct annual testing of plans for recovering vital records (both unclassified and classified, if applicable), critical information systems, services, and data? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.1.7</p>	<p>Does the organization conduct annual testing and exercising of required physical security capabilities at its alternate facilities? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.1.8</p>	<p>Does the organization formally document and report all conducted tests and their results, as applicable? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.1.9</p>	<p>Does the organization conduct annual testing of internal and external interdependencies as identified in the organization's continuity plan, with respect to performance of the organization's and other organizations' Essential Functions? [CGC 1 Annex K, Page K-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				

Attribute				
1.8.2	<i>Create, execute, and document an effective organization-wide continuity <u>training</u> program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.2.1*	Does the organization conduct annual training on the roles and responsibilities for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations? (Training date and those participating in the training should be documented in writing for all continuity training activities) [CGC1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.2	Does the organization conduct and document annual continuity awareness briefings (or other means of orientation) for the entire workforce? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.3	Does the organization conduct and document annual training for the organization's leadership on that organization's Essential Functions, including training on their continuity responsibilities? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.4	Does the organization conduct and document personnel briefings on organizational continuity plans that involve using or relocating to alternate facilities, existing facilities, or virtual offices? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.2.5	Does the organization conduct annual and document training for all reconstitution plans and procedures to resume normal organizational operations from the original or replacement primary operating facility? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.8.2.6	Does the organization document all training sessions within an annual report, to include the type of training conducted, the date of each training session, those completing the training, and by whom the training was given? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.8.3	<i>Create, execute, and document an effective organization-wide exercise program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.3.1	Does the organization's exercise program align with the DHS-mandated National Exercise Program (NEP), as appropriate? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.2	Does the organization's TT&E program provide an annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures while demonstrating the organization's capability to continue its Essential Functions? (All continuity exercise dates and those participating in the exercise should be documented in writing) [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.3	Does the organization conduct an annual exercise that incorporates the deliberate and preplanned movement of continuity personnel to an alternative facility or location? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.4	Does the organization TT&E program provide an opportunity to demonstrate its intra- and inter-organizational continuity communications capabilities? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.8.3.5</p>	<p>Does the organization’s TT&E program provide an opportunity to demonstrate that backup data and records required for supporting Essential Functions at alternate facilities or locations are sufficient, complete, and current? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.3.6</p>	<p>Does the organization’s TT&E program provide an opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities, when appropriate? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.3.7</p>	<p>Does the organization’s TT&E program provide an annual opportunity for continuity personnel to demonstrate their familiarity with the organization’s devolution procedures? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>1.8.3.8</p>	<p>Does the organization conduct a comprehensive debriefing after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the organization’s continuity plan? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				

Attribute				
1.8.4	<i>Maintain an organizational Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.4.1	Has the organization developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.2	Does the organization incorporate evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.3	Does the organization's continuity personnel conduct and document annual assessments of their continuity TT&E programs and continuity plans and programs? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.4	Does the organization's continuity personnel report the findings of all annual assessments, as deemed appropriate? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.4.5	Does the organization's CAP identify continuity deficiencies and other areas requiring improvement? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.8.4.6</p>	<p>Does the organization’s CAP provide responsibilities and a timeline for corrective action? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.4.7</p>	<p>Does the organization’s CAP identify programs and other continuity funding requirements for submission to the organization’s leadership? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.4.8</p>	<p>Does the organization’s CAP identify and incorporate efficient acquisition processes, and where appropriate, collect all inter-organization requirements into one action? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.8.4.9</p>	<p>Does the organization’s CAP identify continuity personnel requirements, the organization’s leadership, and their supporting Human Resource Offices? [CGC 1 Annex K, Page K-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.9	DEVOLUTION OF CONTROL AND DIRECTION The transfer of functions and responsibilities from the primary staff to other offices/locations and staff.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.9.1	<i>Develop a devolution plan or procedures that address the personnel and planning considerations needed to transfer the organization's Essential Functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an organization's leadership and key staff unavailable to or incapable of performing its Essential Functions.</i>			
Characteristics				
1.9.1.1*	Does the organization's devolution plan include the elements of a viable continuity capability: program plans and procedures; budgeting and acquisitions; Essential Functions; orders of succession and delegations of authority specific to the devolution site; interoperable communications; vital records management; staff; test, training, and exercise (TT&E); and reconstitution? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.1.2*	Does the organization's devolution plan identify prioritized Essential Functions and define the tasks that support those Essential Functions? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.1.3*	Does the organization's devolution plan maintain a roster identifying fully equipped and trained personnel who will be stationed at the designated devolution site and who have the authority to perform Essential Functions and activities when the devolution option of the continuity plan is activated? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.9.1.4</p>	<p>Does the organization’s devolution plan identify what would likely activate or “trigger” the devolution option and specify how and when direction and control of the organization’s operations will be transferred to and from the devolution site? [CGC 1 Annex L, Page L-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.9.1.5</p>	<p>Does the organization’s devolution plan establish and maintain a capability to restore or reconstitute the organization authorities to their pre-event status upon termination of devolution? [CGC 1 Annex L, Page L-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.9.2	<i>Develop a devolution plan or procedures that address the resource and training considerations needed to transfer the organization's Essential Functions and/or leadership authorities away from the primary facility or facilities, and to a location that offers a safe and secure environment when catastrophes and other all-hazards emergencies render an organization's leadership and key staff unavailable to or incapable of performing its Essential Functions.</i>			
Characteristics				
1.9.2.1	Does the organization determine the necessary resources to facilitate the immediate and seamless transfer of Essential Functions to the devolution site? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.2	Does the organization list or reference the necessary resources (i.e., equipment and materials) to facilitate the performance of Essential Functions at the devolution site within the devolution section of its continuity plan? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.3	Does the organization establish and maintain reliable processes and procedures for acquiring the resources necessary to continue Essential Functions and to sustain those operations for extended periods? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.4	Does the organization conduct annual training on their organization's devolution option for continuity, addressing how the organization will identify and conduct its Essential Functions during an increased threat situation or in the aftermath of a catastrophic emergency and document the devolution preparedness activities in writing, to include the dates of all TT&E events and names of staff participating in those events? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.9.2.5	Does the organization's corrective action program (CAP) support the organization's devolution program? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.10	RECONSTITUTION OPERATIONS Reconstitution planning is the process by which the organization’s personnel resume normal operations from the original or a replacement primary operating facility.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.10.1	<i>Identify and outline a reconstitution plan and procedures so that the organization is fully capable of accomplishing all Essential Functions and normal operations at the new or restored facility once the organization’s heads or their successors determined it is okay to return from all alternate facilities.</i>			
Characteristics				
1.10.1.1*	Does the organization provide an executable plan for recovering from the effects of an emergency and transitioning back to efficient normal operational status from continuity operations status once a threat or disruption has passed? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.2	Do the organization’s plans or procedures include redeployment plans for phasing down alternate facility operations and returning operations, personnel, records, and equipment to the primary or other operating facility, when appropriate? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.1.3	Does the organization coordinate and preplan options for the organization’s reconstitution regardless of the level of disruption that originally prompted the organization to implement its continuity plan? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>1.10.1.4</p>	<p>Does the organization’s reconstitution plan include moving operations from the continuity or devolution locations to either the original operating facility or new operating facility? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.5</p>	<p>Has the organization outlined or referred to the necessary procedures, whether under a standard continuity scenario or a devolution scenario, for conducting a smooth transition from the relocation sites to a new facility? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.6</p>	<p>Has the organization developed a plan or procedures to inform all personnel that the actual emergency or threat of an emergency no longer exists? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.7</p>	<p>Has the organization developed a plan or procedures to instruct personnel on how to resume normal operations? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.8</p>	<p>Has the organization developed a plan or procedures to supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.9</p>	<p>Has the organization developed a plan or procedures to verify that all systems, communications, and other required capabilities are available and operational and that the organization is fully capable of accomplishing all Essential Functions and operations at the new or restored facility? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

<p>1.10.1.10</p>	<p>Has the organization developed a plan or procedures to report the status of the relocation to the new or restored facility as deemed appropriate? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.11</p>	<p>Has the organization developed a plan or procedures to identify any records affected by the incident? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>1.10.1.12</p>	<p>Has the organization developed a plan or procedures to work with its records office (or similar function in the organization) to effectively transition or recover vital records and databases, as well as other records that have not been designated as vital records, as part of the overall reconstitution effort? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
1.10.2	<i>Develop plans and procedures to identify areas for improvement and remedy these items during the organization's reconstitution activities to improve the organization's capability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.10.2.1	Has the organization developed a plan or procedures to conduct an after-action review of the effectiveness of the continuity plans and procedures? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.2.2	Has the organization developed a plan or procedures to identify areas for improvement from the after-action review? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.2.3	Has the organization developed a plan or procedures to document findings in the organization's CAP? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.10.2.4	Has the organization developed a plan for remedial action as soon as possible after the reconstitution? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.1 PROGRAM PLANS AND PROCEDURES	Continuity planning is an effort to document the existence of, and seek the capability to continue organization's Essential Functions during a wide range of potential emergencies.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.1.1	<i>Develop and maintain comprehensive continuity plans, procedures, objectives and requirements so that, when implemented, these will provide for the continued performance of an organization's Essential Functions under all circumstances.</i>			
Characteristics				
2.1.1.1*	Does the organization have a continuity plan and procedures approved by the Organization Head or designee, such as the Continuity Coordinator or Continuity Manager? [CGC 1, Page 13]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.2*	Does the organization's continuity program address the key elements of continuity: Essential Functions; orders of succession; delegations of authority; alternate facilities; interoperable communications; vital records; human capital; tests, training, and exercises (TT&E); devolution; and reconstitution? [CGC 1 Annex A, Page A-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.3	Do the organization's continuity plans and procedures establish internal procedures for executing change to the readiness posture as deemed appropriate? [CGC1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.1.1.4	Do the organization’s continuity plans and procedures provide a process for reporting continuity readiness posture and activation status in accordance with guidance provided in CGC 1? [CGC 1 Annex A, Page A-3,]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.5	Does the organization’s plans or procedures establish and maintain point-of-contact (POC) rosters of trained continuity personnel who are fully equipped and have the authority to perform Essential Functions; rosters include at a minimum names and home, work, and cellular telephone numbers? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.6	Do the organization’s plans or procedures include guidance for communicating and coordinating activities with the supporting and supported organizations, customers, and stakeholders before, during, and after a continuity event? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.1.7	Do the organization’s plans or procedures provide guidance to all staff in developing Family Support Plans which will increase personal and family preparedness throughout the organization and support employee availability during a continuity event? [CGC 1 Annex A, Page A-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.1.3.	<i>Develop and maintain a process or methodology for attaining operational capability at the continuity sites(s) to ensure the capability to continue the organization's Essential Functions during a wide range of potential emergencies and under all circumstances.</i>			
Characteristics				
2.1.3.1*	Does the organization provide a process or methodology for attaining operational capability at the continuity sites(s) with minimal disruption to operations, within 12 hours of plan activation? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.2*	Do the organization's activation and relocation plans include alert and notification procedures for all continuity personnel throughout the phases of a continuity event and provide a process for reporting continuity personnel readiness and activation status? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.3	Does the organization include procedures for activation and relocation, which consist of: guidance for continuity personnel, in its continuity plan or within a separate implementation plan, which include instructions on moving to an alternate facility and on moving vital records (those that have not been pre-positioned) from the primary to the alternate facility? [CGC 1 Annex A, Page A-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.3.4	Do the organization's activation and relocation plans or procedures include a decision matrix for continuity plan and procedure implementation due to with and without warning events during duty hours and non-duty hours for continuity plan activation? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.1.3.5</p>	<p>Do the organization’s activation and relocation plans include procedures for the notification of alternate facilities and on-site support teams? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.1.3.6</p>	<p>Do the organization’s activation and relocation plans include procedures for notifying other POCs, adjacent organizations, customers, stakeholders, and interdependent agencies of continuity plan activation and status? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.1.3.7</p>	<p>Do the organization’s activation and relocation plans identify what drive-away kits should contain and how to maintain those kits? [CGC 1 Annex A, Page A-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.1.3.8</p>	<p>Do the organization’s activation and relocation plans include instructions on procuring necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis? [CGC 1 Annex A, Page A-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

Attribute				
2.1.4	<i>The organization plans or procedures include instructions for the execution of all Essential Functions at the alternate facility, in accordance with applicable continuity guidance that, when implemented, ensure the capability to continue the organization’s Essential Functions during a wide range of potential emergencies and under all circumstances.</i>			
Characteristics				
2.1.4.1*	Do the organization’s plans or procedures identify the components, processes, and requirements, as determined by the organization, that ensure the continued performance of the organization Essential Functions ? [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.4.2	Do the organization’s plans or procedures include reception in-processing and accounting for continuity personnel? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.4.3	Do the organization’s plans or procedures include transition of responsibilities from the primary operating facility to the deployed continuity personnel, once they are in place at the continuity facilities? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.1.4.4	Do the organization’s plans or procedures include identification of replacement personnel and augmentees, as necessary? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.1.4.5</p>	<p>Do the organization's plans or procedures include provisions and procedures for assisting all the organization's staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster? [CGC 1 Annex A, Page A-4]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.1.4.6</p>	<p>Do the organization's plans or procedures include instructions for the acquisition of necessary personnel and resources for continuity operations on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed? [CGC 1 Annex A, Page A-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.2 RISK MANAGEMENT Risk management is a process to identify, control, and minimize the impact of uncertain events. This process organizes information to provide decision makers with information about risks to the organization’s readiness, and to provide them with options for risk mitigation.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.2.1	<i>The organization uses a risk management process to identify, control, and minimize the impact of uncertain events.</i>			
Characteristics				
2.2.1.1	Has the organization established the scope and structure of the risk-informed decision making process, to include strategic goals, objectives, and constraints? [CGC 1 Annex B, Page B-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.2.1.2	Has the organization implemented a structured risk assessment process for understanding (1) what can go wrong, (2) what the likelihood is that an undesired event might occur, and (3) what the impact of the undesired event might be? [CGC 1 Annex B, Page B-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.2.1.3	Has the organization developed potential mitigation strategies to reduce the risk of an undesired event where the current level of risk is unacceptable? [CGC 1 Annex B, Page B-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.2.1.4	Has the organization evaluated the potential mitigation strategies and selected the best possible strategy for implementation? [CGC 1 Annex B, Page B-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.2.1.5	The organization has implemented all selected mitigation strategies and is monitoring the effectiveness of the actions taken to manage risks through established metrics? [CGC 1 Annex B, Page B-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.3 BUDGETING AND ACQUISITION OF RESOURCES The budgeting and planning process can help the organization’s leaders provide the critical continuity resources necessary to continue performing Essential Functions before, during, and after a continuity event.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.3.1	<i>Through the budgeting process, an organization’s leaders and staff will ensure critical continuity resources are available to continue performing the organization’s Essential Functions before, during, and after a continuity event.</i>			
Characteristics				
2.3.1.1*	Does the organization identify and provide continuity funding and specific budgetary guidance and requirements for all levels of their organizations, including subordinate components and regional-and field-level offices? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.2	Does the organization consider the budgetary guideline in the CGC 1 or appropriate continuity guidance for a viable continuity of operations capability? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.3	Does the organization reference pre-established procurement mechanisms when submitting funding request? [CGC 1, Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.3.1.4	Does the organization use a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.5	Does the organization integrate budgets with a multiyear strategy and program management plan, and link the budgets directly to objectives and metrics set forth in that plan? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.3.1.6	Does the organization budget for continuity capabilities in accordance with NSPD-51/HSPD-20, National Communications System Directive (NCSD) 3-10 (continuity communications), as applicable, and CGC 1? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.3.2	<i>Through the acquisition process, an organization's leaders and staff will ensure critical continuity resources are available to continue performing the organization's Essential Functions before, during, and after a continuity event.</i>			
Characteristics				
2.3.2.1	Does the organization provide for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed? [CGC 1 Annex C, Page C-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

APPENDIX A: OPERATIONAL PHASES AND IMPLEMENTATION (CMF 2.4)

This section of the Continuity Assistance Tool is to be used during or immediately following an exercise or actual event. While some of the questions are repetitive of those in previous sections, this appendix is intended to assist organizations in identifying how well they implemented their continuity plan and program during a continuity exercise or actual event.

2 CONTINUITY PROGRAM FOUNDATION				
CAT Number	Continuity Management Function	Tally		
2.4 CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION	The organization must be prepared to implement executive decisions that are based upon a review of the emergency, and then determine the best course of action based on the organization’s readiness posture. The organization should integrate implementation procedures and criteria into their continuity plans. The organization’s continuity plan must address the four phases of: (1) readiness and preparedness, (2) activation and relocation, (3) continuity operations, and (4) reconstitution. These actions are to ensure continuation of the organization’s Essential Functions before, during, and after an emergency or disaster and under all conditions	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
2.4.1	<i>Respond to continuity events through completion of the organization readiness, preparedness, and activation plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.1.1*	During the exercise or event, did your organization follow its procedures for the readiness and preparedness phase within its continuity plan or within a separate implementation plan? [CGC1 Annex N, Page N-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.1.2*	During the exercise or event, did your organization follow its procedures for the activation and relocation phase within its continuity plan or within a separate implementation plan? [CGC 1 Annex N, Page N-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.4.1.3</p>	<p>During the exercise or event, did your organization use its decision matrix for continuity plan activation that addresses with and without warning events, those occurring during duty hours and non-duty hours, in making the decision to activate the organization continuity plan? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.4</p>	<p>During the exercise or event, did your organization notify all employees (continuity essential personnel and non-deployed personnel) of a continuity event? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.5</p>	<p>During the exercise or event, did your organization activate personnel, vital records and databases, and equipment involved with the continuation of Essential Functions with minimal disruption? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.6</p>	<p>During the exercise or event, did your organization account for all personnel? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				
<p>2.4.1.7</p>	<p>During the exercise or event, did your organization communicate instructions and operating status with continuity personnel before, during, and after the continuity event? [CGC1 Annex J, Page J-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p><i>Comments:</i></p>				

2.4.1.8	During the exercise or event, did your organization use its human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities, and other human resources flexibilities), as needed, to help the organization continue Essential Functions during an emergency? [CGC 1 Annex J, Page J-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				

Attribute				
2.4.2	<i>Respond to continuity events through completion of the organization relocation plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.2.1	During the exercise or event, did subordinate organizations notify their organization’s central location upon activation of their continuity plans and of the time of execution or activation of call-down procedures? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.2.2	During the exercise or event, did your organization notify alternate facilities and on-site support teams of an activation and relocation? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.2.3	During the exercise or event, did your organization notify other POCs, organizations that your organization interacts with, customers, and stakeholders of the activation of continuity plans and status? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.2.4	During the exercise or event, did your organization’s personnel follow the continuity plan instructions on moving personnel and vital records to its alternate facilities? [CGC 1 Annex N, Page N-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.4.2.5	During the exercise or event, did your organization’s personnel use continuity drive-away kits, as applicable? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.4.3	<i>Respond to and attain operational capability during continuity events through completion of the organization continuity operations plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.3.1*	During the exercise or event, did your organization demonstrate the capability to perform its Essential Functions within 12 hours after an event and under all threat conditions, from its alternate facilities to include virtual office options including telework, including the ability to maintain this capability for up to 30 days after an event or until normal business activities can be resumed? (If your organization has operations that must be continuous and cannot be suspended for any period or for less than 12 hours, they must be identified and conducted) [CGC 1 Annex A, Page A-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.2*	During the exercise or event, did your organization attain operational capability and demonstrate the capability to perform its Essential Functions at its continuity sites with minimal disruption to operations, within 12 hours of activation? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.3*	During the exercise or event, did your organization transition responsibilities from the primary operating facility to the deployed continuity personnel, once they were in place at the continuity facilities? [CGC 1 Annex N, Page N-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.4*	During the exercise or event, did your organization station personnel at the designated devolution site, with the appropriate authorities, skills and abilities that performed the organization's Essential Functions and activities when the devolution option of the continuity plan was activated? [CGC 1 Annex L, Page L-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.4.3.5*</p>	<p>During the exercise or event, did your organization identify all available leadership at its alternate facilities and conduct the orderly and pre-defined transition of leadership, for the position of the organization's head as well as for key supporting positions, in accordance with its delegations of authority, as applicable, during an emergency? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.3.6*</p>	<p>During the exercise or event, did your organization's alternate facilities provide a sufficient quantity and mode/media of interoperable and available redundant and survivable communication capabilities to enable performance of all Essential Functions? [CGC 1 Annex G, Page G-4]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.3.7</p>	<p>During the exercise or event, did your organization procure necessary equipment/supplies, which were not already in place, needed to support and continue Essential Functions and sustain operations? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.3.8</p>	<p>During the exercise or event, did your organization conduct reception and in-processing of continuity personnel? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.3.9</p>	<p>During the exercise or event, did your organization provide guidance to non-deployed personnel [CGC 1 Annex N, N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.3.10</p>	<p>During the exercise or event, did your organization's continuity personnel understand their roles and responsibilities? [CGC 1 Annex N, Page N-2]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

2.4.3.11	During the exercise or event, did your organization's alternate facilities, to include virtual office options including telework, provide capabilities to access and use vital records necessary to facilitate the performance of Essential Functions within twelve hours of a continuity activation, to include having access to the appropriate media for supporting information systems and data, internal and external e-mail and e-mail archives and hard copies of vital records? [CGC 1 Annex G, Page G-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.12	During the exercise or event, were vital records available for those operations that must be performed continuously without interruption? [CGC 1 Annex G, Page G-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.13	During the exercise or event, were your organization's delegations of authority available at continuity locations, to include devolution sites, if applicable? [CGC 1 Annex F, Page F-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
2.4.3.14	During the exercise or event, did your organization identify and alert replacement personnel and augmentees, as necessary? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.3.15	During the exercise or event, did your organization's alternate facilities provide sufficient levels of physical security to protect against all threats, as identified in the facility's risk assessment and physical-security surveys developed by the security office, law enforcement, a qualified contractor, or other organization to include identifying technologies that control site access, conduct site surveillance, and provide early warning of unauthorized intrusion as part of the alternate facility's physical security program? [CGC 1 Annex G, Page G-5]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

2.4.3.16	During the exercise or event, did your organization’s alternate facilities, to include virtual office options including telework, provide sufficient levels of information security to protect against all threats as identified in the facility’s risk assessment and information security surveys by the organization’s Information Technology office? [CGC 1 Annex G, Page G-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
2.4.4	<i>Reestablish normal operations and refine the agency's continuity program and plans after a continuity event through completion of an organization's reconstitution and corrective action plans and procedures to ensure the performance of all Essential Functions before, during, and after all emergencies and disasters and under all conditions.</i>			
Characteristics				
2.4.4.1*	During the exercise or event, did your organization verify that all systems, communications, and other required capabilities are available and operational at the new or restored facility and that the organization was fully capable of accomplishing all Essential Functions and operations at the new or restored facility? [CGC 1 Annex M, Page M-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.2	During the exercise or event, did your organization access the status of affected facilities? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.3	During the exercise or event, did your organization consider how much time is needed to repair the affected facility and/or to acquire a new facility? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
2.4.4.4	During the exercise or event, did your organization supervise facility repairs? [CGC 1 Annex N, Page N-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

<p>2.4.4.5</p>	<p>During the exercise or event, did your organization notify decision makers of the status of repairs, including estimates of when the repairs would be completed? [CGC 1 Annex N, Page N-3]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>2.4.4.6</p>	<p>During the exercise or event, did your organization implement a priority-based phased approach to reconstitution? [CGC 1 Annex N, Page N-3]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>2.4.4.7</p>	<p>During the exercise or event, did your organization inform all personnel that the actual emergency or threat of an emergency no longer existed? [CGC 1 Annex M, Page M-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>2.4.4.8</p>	<p>During the exercise or event, did your organization instruct personnel on how to resume normal operations? [CGC 1 Annex M, Page M-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>2.4.4.9</p>	<p>During the exercise or event, did your organization supervise a return to the normal operating facility or a move to another temporary or permanent primary operating facility? [CGC 1 Annex M, Page M-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>2.4.4.10</p>	<p>During the exercise or event, did your organization report the status of the relocation to a new or restored facility? [CGC 1 Annex M, Page M-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<p>2.4.4.11</p>	<p>During the exercise or event, did your organization consider and reconstitute, as appropriate, any records affected by the incident? [CGC 1 Annex M, Page M-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>

<p>2.4.4.12</p>	<p>During the exercise or event, did your organization work with its records office (or similar function in the organization) to effectively transition or recover vital records and databases, as well as other records that had not been designated as vital records, as part of the overall reconstitution effort? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.4.13</p>	<p>During the exercise or event, did your organization conduct an after-action review upon return to its restored or new primary facility to determine the effectiveness of its continuity of operations plans and procedures? [CGC 1 Annex N, Page N-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.4.14</p>	<p>During the exercise or event, did your organization's after-action review of its continuity of operations plans and procedures identify aspects of the continuity of operations plans and procedures that need correction along with areas for improvement and assign responsibility for making those corrections and improvements? [CGC 1 Annex N, Page N-3]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.4.15</p>	<p>During the exercise or event, did your organization document the findings in the organization's corrective action plan (CAP)? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			
<p>2.4.4.16</p>	<p>During the exercise or event, did your organization develop a remedial action plan as soon as possible after the reconstitution? [CGC 1 Annex M, Page M-1]</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
	<p><i>Comments:</i></p>			

APPENDIX B: REFERENCES

Source Document:

Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Entities, (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*.

1 Elements of a Viable Continuity Capability	
1.1 Essential Functions	CGC 1, Annex D
1.2 Orders Of Succession	CGC 1, Annex E
1.3 Delegations Of Authority	CGC 1, Annex F
1.4 Continuity Facilities	CGC 1, Annex G
1.5 Continuity Communications	CGC 1, Annex H
1.6 Vital Records Management	CGC 1, Annex I
1.7 Human Capital	CGC 1, Annex J
1.8 Test, Training, And Exercise (TT&E) Program	CGC 1, Annex K
1.9 Devolution Of Control And Direction	CGC 1, Annex L
1.10 Reconstitution Operations	CGC 1, Annex M
2 Continuity Program Foundation	
2.1 Program Plans And Procedures	CGC 1, Annex A
2.2 Risk Management	CGC 1, Annex B
2.3 Budgeting And Acquisition Of Resources	CGC 1, Annex C
2.4 Continuity Plan Operational Phases And Implementation	CGC 1, Annex N

Point of Contact (POC):

For any questions or additional assistance regarding CGC 1, contact:
 State, Territorial, Tribal, and Local Branch
 Continuity of Operations Division
 FEMA National Continuity Programs Directorate
 FEMA-STTLContinuity@dhs.gov

APPENDIX C: CONTINUITY PRACTITIONER COURSES

Organizations are encouraged to enroll in the Continuity of Operations Excellence Series. The series provides a curriculum for certification as either a Professional Continuity Practitioner (Level I) or Master Continuity Practitioner (Level II).

Below is the list of required elements needed to achieve the **Professional Continuity Practitioner certification**.

Continuity of Operations Excellence Series Training- Level I

- IS 546: COOP Awareness Course;
- IS 547: Introduction to COOP;
- IS 242: Effective Communication;
- B/E/L 550: COOP Planner's Train-the-Trainer Workshop;
- IS 100: Introduction to Incidental Command System (ICS);
- IS 230: Principles of Emergency Management;
- IS 700: Introduction to National Incident Management System (NIMS);
- IS 800-B: A National Response Framework (NRF), an Introduction;
- E/B 136 or IS 139: Exercise Development Course/Exercise Design Course/or COOP exercise Design/Development Train-the-Trainer Course;
- Complete attendance in continuity exercise Determined Accord;
- NARA/CoSA Vital Records Training (optional, recommended).

Below is the list of required elements needed to achieve the **Master Continuity Practitioner certification**.

Continuity of Operations Excellence Series Training- Level II

- Applicants must attain a Continuity of Operations Excellence Series – Level 1, Professional Continuity Practitioner;
- IS 130: Exercise Evaluation and Improvement Planning;
- IS 240: Leadership and Influence;
- B/E/L 551: Devolution Training;
- B/E/L 156: Building Design for Homeland Security Train-the-Trainer Course for Continuity of Operations;
- B/E/L 262: Instructional Delivery for Subject Matter Experts;
- Instruct COOP Manager's Train-the-Trainer;
- Facilitate COOP Planner's Train-the-Trainer Workshop;
- Written Comprehensive Exam.

For questions regarding the Continuity Practitioner Program, please contact the FEMA National Continuity Directorate; Continuity of Operations Division; State, Territorial, Tribal and Local Branch at FEMA-STTLContinuity@dhs.gov.

APPENDIX D: LIST OF ACRONYMS

BPA	Business Process Analysis
CAP	Corrective Action Program
CAT	Continuity Assistance Tool
CGC 1	Continuity Guidance Circular 1
CMF	Continuity Management Function
DHS	Department of Homeland Security
ERG	Emergency Relocation Group
FEMA	Federal Emergency Management Agency
HR	Human Resources
HSAS	Homeland Security Advisory System
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
N/A	Not Applicable
NCPIP	National Continuity Policy Implementation Plan
NCSD	National Communications System Directive
NEF	National Essential Function
NRF	National Response Framework
NSPD	National Security Presidential Directive
PMEF	Primary Mission Essential Function
POC	Point of Contact
TSP	Telecommunications Service Priority
TT&E	Test, Training, and Exercise
WPS	Wireless Priority Service