Continuity of Operations Plan Template for Federal Departments and Agencies

April 2013

[Department/Agency Name]
[Month Day, Year]

[Department/Agency Name]
[Street Address]
[City, State Zip Code]

[Insert Federal Department/Agency Symbol]

CONTINUITY PLAN TEMPLATE AND INSTRUCTIONS

The purpose of this template is to provide instructions, guidance, and sample text 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.

By using this template, organizations 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 certain sections to build or improve their Continuity 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.

This Continuity Plan template is set up to provide a high-level overview in the front section and detailed Continuity planning in the Annexes. Sample text and instructions have been provided throughout the template in *blue italics* and **bold text** inside of brackets.   Once organization-specific information is entered into the body of the template throughout the document, *delete* the italicized instructions and replace the instructions in brackets with the applicable information (e.g., for FEMA, the instruction **[Organization Name]** would be replaced with FEMA).

An electronic version of this document in portable document format is available on the FEMA website at http://www.fema.gov/about/org/ncp/coop/templates.shtm. To request a Microsoft® Word version, please contact National Continuity Programs, Continuity of Operations Division via e-mail at FEMA-NCP-Federal-Continuity@dhs.gov. Questions concerning this template may be directed to:

National Continuity Programs
Continuity of Operations Division
Federal Emergency Management Agency
500 C Street, SW., Suite 515
Washington, DC 20472
FEMA-NCP-Federal-Continuity@dhs.gov
(202) 646-3187

Notes:
- This document has been updated to reflect the change from the color-coded Homeland Security Advisory System to the Department of Homeland Security's National Terrorism Advisory System which was implemented in April 2011.
- This document has been updated to reflect the changes in the updated FCD 1, amended October 2012.

TABLE OF CONTENTS

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.

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 organization head, or designee, must approve and sign the Continuity Plan, to include significant updates or addendums. 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 **[name of group (e.g., Emergency Relocation Group]**. Upon Plan activation, these members will deploy to **[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 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 1, *Federal Executive Branch National Continuity Program and Requirements*, October 2012; **[Organization Name]** Management Directive **[Directive number/title]**; and other related Directives and guidance.

> **[Organization Head signature]**
> **[Organization Head's name]**
> **[Organization Head's title]**
> **[Organization Name]**
> **[Signature Date]**

Annual Review and Certification

HEADQUARTERS CONTINUITY PLAN

On an annual basis (fiscal year), the Continuity Plan, Essential Functions, and Business Process Analysis must be reviewed and updated, if changes occur, as well as documenting the date of the review and the names of personnel conducting the review.

Once a fiscal year, **[Organization Name]** reviews its Headquarters (HQ) Continuity Plan, components, and supporting elements, and makes any required updates or changes.

SAMPLE: Annual Review Table

Element Reviewed	Date of Last Review	Individuals Conducting Review
Continuity Plan		
Essential Functions		
Business Process Analysis		
Continuity Facilities' Suitability and Functionality		
Continuity Facilities' MOA/MOU		
Continuity Communications' ability to support Essential Functions fully		
Reconstitution Standard Form 2050		

NON-HEADQUARTERS CONTINUITY CERTIFICATION

On an annual basis (fiscal year), all non-Headquarters' organization entities (subcomponent, regional, and field offices) must submit to its organization HQ documentation on its Continuity efforts. This documentation includes certification by the Organization Head or designee that the component/office maintains a Continuity Plan and the date of Plan signature. Organizations may use regional or overarching Continuity/Devolution plans that integrate the Continuity capabilities of multiple subordinate organizations.

Once a fiscal year, **[Organization Name]**'s non-Headquarters' components submit to **[Organization]** HQ certification that the non-HQ component maintains a Continuity Plan and the date of Plan signature.

Record of Changes

When changes are made to the Continuity Plan outside the official cycle of Plan review, coordination, or 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, date of change, the name of the person who made the change, and a change description.

SAMPLE: Document Change Table

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

Record of Distribution

The Record of Distribution, usually in table format, indicates the title and the name of the person receiving the Plan, the organization 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

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

Purpose, Scope, Situations, and Assumptions
PURPOSE

The introduction to the Continuity of Operations Plan should explain the importance of Continuity planning to the organization and why the organization is developing a Continuity 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 s 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 organizations 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.

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

SITUATION OVERVIEW
This section characterizes the "planning environment," making it clear why a Continuity Plan is necessary. 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 Federal Executive Branch organizations.

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, as is outlined in the Risk Management Annex of this Plan.

The **[Organization Name]** Continuity Facilities were selected following an all-hazards risk assessment of facilities for Continuity of Operations use. The **[Organization Name]** risk assessment is found at **[document name and location or insert risk assessment information]**. 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, based upon risk assessments and as judged by the organization, from the primary operating facility, 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 **[document name or location]**.

PLANNING ASSUMPTIONS
This section should briefly describe the layout of the Continuity 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 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 successor. However, in the event that ERG deployment is not feasible due to the loss of personnel, the **[Organization Name]** will devolve to **[Devolution office/region]**
- **[Insert additional assumptions.]**

OBJECTIVES
All plans and procedures should list the objectives the plans are designed to meet. Continuity planning objectives are pre-identified in FCD 1. Sample text for this section includes:
- The Continuity planning objectives that all Federal Executive Branch organizations are required to meet are identified in 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.

Ensure and validate Continuity readiness through a dynamic and integrated Continuity Test, Training, and Exercise program and operational capability.

SECURITY AND PRIVACY STATEMENT

This section details the classification of the Continuity Plan. At a minimum, organizations should classify their plan as "For Official Use Only," as Continuity plans and procedures are sensitive, organization-specific documents. Further, if the organization's 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 plans and procedures are properly classified and marked. This section should also contain dissemination instructions. Sample text for this section includes:

This Continuity Plan is **[classification information, e.g., For Official Use Only]**. Portions of this Continuity 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 U.S.C §552, 41 CFR Part 105-60). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with **[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 **[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. **[Record 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 **[office or position title]**. **[Organization Name, office name]** will distribute updated versions of the Continuity Plan annually or as critical changes occur.

Concept of Operations
This section explains how the organization will implement its Continuity Plan and, specifically, how it plans to address each of the Continuity critical elements. This section should be separated into four phases: Readiness and Preparedness; Activation; Continuity Facility Operations; and, Reconstitution. Devolution planning strongly correlates in each phase and is also addressed in this section.

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 National Terrorism Advisory System (NTAS). **[Organization Name]** uses other warning and threat systems, which include **[list threat and warning systems]**.

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 FCD 1, Annexes M and N. **[Organization Name]** has identified the following additional activities to undertake at each COGCON level, if applicable.

COGCON Level	Activity	Frequency
Level 4	[Insert agency-specific Level 4 activities.]	[Frequency]
Level 3	[Insert agency-specific Level 3 activities.]	[Frequency]
Level 2	[Insert agency-specific Level 2 activities.]	[Frequency]
Level 1	[Insert agency-specific Level 1 activities.]	[Frequency]

National Terrorism Advisory System Alerts (NTAS)
The **[Organization Name]** has established internal plans and procedures for executing changes based on the NTAS alert regarding *imminent threat* or *elevated threat*. The

[Organization Name] has identified the following activities to undertake for each NTAS threat level.

Threat Alert	Threat Condition Criteria	Organization Potential Response
Imminent Threat Alert	Warns of credible, specific, and impending terrorist threat against the United States.	Activate the **[Organization Name]** Continuity of Operations Plan. Alert **[Organization Name]** Devolution Emergency Response Group.
Elevated Threat Alert	Warns of credible non-specific terrorist threat against the United States.	The **[Organization Name]** reviews the Continuity of Operations Plan and devolution plans and procedures. The **[Organization Name]]** places the Continuity of Operations Team and Devolution Emergency Response Group on alert.

Other Warning and Threat System Procedures
[Insert, if any, any additional organization readiness and preparedness measures tied to other warning and threat systems.]

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 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
- Identification and charge cards   - Government ID card   - Driver's license   - Government travel card   - Health insurance card   - Personal charge card   - Communication equipment   - Pager/BlackBerry   - Government cell phone   - Personal cell phone   - Government Emergency Telephone Service card   - Hand-carried essential records   - Directions to Continuity Facility   - Maps of surrounding area   - Business and leisure clothing   - Continuity Plan   - Flashlight   - Business and personal contact numbers   - 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   - 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: **[Add any additional organization readiness and preparedness measures for organization personnel, such as orientation training, brown bags, or working lunch informational sessions, senior leadership addresses to the organization regarding Continuity, etc.]**.

PHASE II: ACTIVATION

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 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:
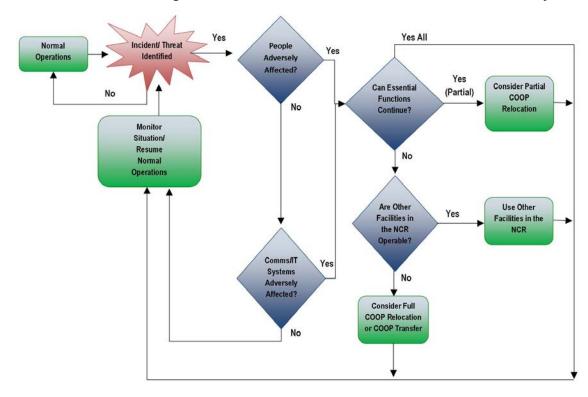
(1) The President may initiate Federal Executive Branch Continuity activation.

(2) The **[Organization Head]**, or 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 is a scenario-driven process that allows 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	• 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? • **[Add any additional points.]**	• 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? • **[Add any additional points.]**
Event Without Warning	• 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? • **[Add any additional points.]]**	• Is the facility affected? • What are instructions from first responders? • How soon must the organization be operational? **[Add any additional points.]**

SAMPLE: Conceptual Executive Decision Process Matrix for Continuity

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:

- Direction and guidance from higher authorities;
- The health and safety of personnel;
- The ability to execute Essential Functions;
- Changes in readiness or advisory levels;
- Intelligence reports;
- The potential or actual effects on communication systems, information systems, office facilities, and other vital equipment; and,
- The expected duration of the emergency situation.
- **[Add other organization considerations, if needed.]**

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 NTAS, the Federal Government Response Stages for Pandemic Influenza, intelligence, and **[add 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:

- The **[Organization Head]** or designated successor will notify **[office/title]** of the emergency requiring Continuity activation
- **[Identify notification steps. Include notification method, name/group initiating notification, and required responses of all organization personnel upon notification; include if the organization maintains an advance team to prepare the Continuity site for arrival.]**
- **[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 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 status and the anticipated duration of relocation;
- FEMA's Continuity Readiness Cell (CRC) regarding Continuity activation status, and submit a Continuity Status Reporting Form using the form and procedures provided by FEMA NCP or other specified Continuity point-of-contact. Report reconstitution status to FEMA NCP via the Reconstitution Status Report Form;
- All **[Organization Name]** employees, both Continuity personnel and non-deployed personnel with instructions and guidance regarding the Continuity activation;
- Organization headquarters, if a subordinate organization;
- Subordinate organizations, if an organization headquarters; and,
- **[Add other points-of-contact, adjacent agencies, customers, stakeholders, and interdependent agencies.]**

Relocation Process
Following activation of the plan and notification of personnel, **[Organization Name]** must move personnel and essential 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 **[location within the plan]**.

Emergency procedures during duty hours with or without a warning are as follows:
- Continuity personnel, including advance teams, if applicable, will depart to their designated Continuity Facility from the primary operating facility or their current location using **[mode of transportation, such as privately owned vehicles, buses, provisions regarding the transport of disabled Continuity employees, etc.].**
- 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 **[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, if available, regarding routes to use during departure from the primary operating facility 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 their current location using **[mode of transportation, such as privately owned vehicles, buses, provisions regarding the transport of disabled Continuity employees, etc.]** at **[time, 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 **[mode of transportation, such as privately owned vehicles, buses, any provisions regarding the transport of disabled Continuity employees, etc.]** at **[time, such as immediately, the time specified during notification, etc.]**.
- Individuals who are not Continuity personnel will remain at their 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 **[office/title]** with the staff on a case-by-case basis. Individuals 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 not designated as Continuity personnel to move to **[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 not already in place for Continuity operations on an emergency basis. **[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]**.

PHASE III: CONTINUITY OPERATIONS
This section identifies 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 **[authority]** using **[notification method]**. 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; and,
- **[Add additional tasks.]**

As Continuity personnel arrive at the Continuity facility, **[office/title]** will in-process staff to ensure accountability. In-processing procedures are conducted in **[insert exact location of in-processing]** and will consist of the following steps: **[list steps to in-process Continuity personnel, 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 **[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 FEMA Operations Center;
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information; and
- **[Add additional tasks.]**

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 internal organization processes, such as using call down telephone trees, a 1-800 number, an alert and notification system, a website, etc. Include how the organization will account for personnel. Also, specify the person responsible by title and office and procedures 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. **[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]**.

PHASE IV: RECONSTITUTION OPERATIONS
Organizations must identify and outline a plan to return to normal operations once organization heads or their successors determine Reconstitution operations for resuming normal business operations can be initiated. For organizations that use a separate Reconstitution Plan from the Continuity Plan, include the baseline information in this

section and include a reference to the Reconstitution Plan in the appropriate places within this section. Organizations will coordinate with the General Services Administration (GSA) or other applicable facility management group to obtain office space for Reconstitution if the primary operating facility is uninhabitable. For additional information, see FCD 1, Annex M. Sample text for this section includes:

Within **[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:

- **[Title]** will serve as the Reconstitution Manager for all phases of the Reconstitution process, and is located at the primary operating facility.
- **[Title]** will serve as the Devolution Reconstitution Manager.
- 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 **[title/office]** within **[number]** hours of the Continuity Plan activation
- **[Organization Name]** must submit Standard Form (SF) 2050 per FCD-1, Annex M. On an annual basis, **[Organization Name]** will review and resubmit the SF-2050 at https://gsapergamum.gold.ic.gov or classified fax at (202) 501-1068.

During Continuity operations, **[office/title]** must assess the status of the personnel, assets, facilities, and infrastructure affected by the event by **[methods]**. 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 **[offices and organizations]**. Should **[Organization Name]** decide to repair the affected facility, **[office/title]** has the responsibility of supervising the repair process and must notify **[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; and,
- **[Add any additional organization options.]**

Prior to relocating to the current primary operating facility or another facility, **[office/title]** will conduct appropriate security, safety, and health assessments to determine building

suitability. In addition, **[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 reestablish itself in a different facility:

- The **[Organization Name]** Continuity Coordinator or other authorized individual must notify the FEMA CRC regarding Continuity activation status, and submit a Reconstitution Status Report Form using the form and procedures provided by FEMA NCP or other specified Continuity point-of-contact..
- **[Office/title]** will develop space allocation and facility requirements.
- **[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 **[method of communication].**
- **[Office/title]** will develop procedures, as necessary, for restructuring staff.
- **[Add any additional activities associated with planning for Reconstitution.]**

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, **[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.

- **[Add priority-based phase-down and return plan.]**

[Organization Name] will continue to operate at its Continuity facility until ordered to cease operations by **[authority]** using **[notification method].** 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.

- **[Add normal operations resumption plan.]**

[Office/title] will identify any records affected by the incident by **[identification processes or contacts]**. In addition, **[office/title]** will effectively transition or recover essential records and databases, as well as other records not designated as essential records, using the plan outlined below. **[Organization Name]** will begin development of specialized essential records transition and recovery plans based on the incident and facility within **[number]** hours of plan activation.

- **[Add essential records transition and recovery plan.]**

When 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. **[Title]** 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. **[Office/title]** is responsible for developing a process for receiving and processing employee claims during the Continuity event, including processing human resources claims (including, injury claims, overtime pay, etc.) and replacing lost or broken equipment.

[Organization Name] will identify lessons learned, best practices, and improvement needs. This includes developing an After-Action Report/Improvement Plan for the purposes of summarizing the Reconstitution event; identifying opportunities to improve and enhance the organization's Continuity program, plans, and capabilities; and, developing an approach to implementing improvements. **[Office/title]** has the responsibility for initiating and completing the After-Action Report (AAR).   For additional information on Reconstitution, see FCD 1, Annex M.

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 using a separate Devolution Plan from the Continuity Plan, include the baseline information in this section in the organization's Continuity Plan and include a reference to the Devolution Plan in the appropriate places within this section. FEMA maintains a Devolution template compliant with FCD 1, Annex L, and is located at: http://www.fema.gov/government/coop. 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 **[office name and location]**. **[Office/title]** maintains responsibility for ensuring the currency of the **[Organization Name]** Devolution Plan. The **[Organization Name]** Devolution Plan:
- 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; Essential Records management staff; Test, Training, and Exercise (TT&E); and, Reconstitution. The **[Organization Name]** Devolution Plan is located **[location, Devolution Plan, or applicable Devolution Plan Appendix]**.

- 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 **[location]**.
- Includes a roster identifying fully equipped and trained personnel who will be stationed at the designated Devolution site and who have authority to perform Essential Functions and activities when the Devolution option of the Continuity Plan is activated. The Devolution personnel roster is found at **[location]**.
- Identifies what would likely activate or "trigger" Devolution 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 **[location or insert below]**.
- 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 **[location]**.
- 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 **[office/title]** is responsible for acquiring resources during a Devolution situation. Acquisition processes and procedures are found **[location]**.
- 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 **[office/title]** and is found at **[location]**. Further, the **[Organization Name]** Corrective Action Program (CAP) supports the Devolution program. The **[Organization Name]** CAP is maintained by **[office/title]** and CAP documentation is found at **[location]**.

PROCEDURES FOR DEVOLVING ESSENTIAL FUNCTIONS TO DERG AT DEVOLUTION SITE
This section should identify those procedures and instructions on how the organization will devolve functions to the DERG at the Devolution site and detail the transition of responsibilities to the deployed ERG or DERG. Sample text for this section includes:

The transition of Essential Functions to the DERG and the Devolution site is an important step and may be conducted with warning or without warning. **[Organization Name]** has taken the following steps to prepare in advance for devolving to the DERG at the Devolution site: **[outline steps, or state plan name and location where steps are outlined]**.

Organization and Assignment of Responsibilities
This section should include additional delineation of Continuity 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 **[location]**.

SAMPLE: Continuity of Operations Responsibilities

The following table shows examples of some Continuity of Operations responsibilities.

Position	Responsibilities
Director	• Provide strategic leadership and overarching policy direction for the Continuity program • Implement the Continuity Plan when necessary or directed • Update/promulgate Orders of Succession and Delegations of Authority • Ensure adequate funding is available for emergency operations • Ensure all components participate in Continuity exercises • Update Continuity Plan annually
Communications Specialist	• Update telephone rosters monthly • Conduct alert and notification tests
Records Specialist	• Review status of essential files, records, and databases
Training Specialist	• Develop and lead Continuity of Operations training • Plan Continuity of Operations exercises
Continuity Personnel	• Be prepared to deploy and support organization Essential Functions in the event of a Continuity Plan implementation • Provide current contact information to their manager • Know role and responsibilities in the event of Continuity Plan activation • Participate in Continuity training and exercises as directed • Have a telework agreement for this position, if applicable

Direction, Control, and Coordination

This section describes the framework for all direction, control, and coordination activities. It 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 in Annex.F for Orders of Succession, and Delegations of Authority.

The contents and procedures laid forth in this Continuity Plan are consistent with the direction found in FCD 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 **[internal organizations such as Regional components, subcomponents, or organization headquarters]** to ensure vertical integration within **[Organization Name]**.

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 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 gives 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 F, Continuity Communications.

Budgeting and Acquisition

This section should identify the people, communications, facilities, infrastructure, and transportation requirements 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:

MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN

Organizations must develop a Continuity Multi-Year Strategy and Program Management Plan (MYSPMP) that provides for the development, maintenance, and annual review of Continuity capabilities requiring an organization to consider: Essential Functions performance; short- and long-term goals/objectives for plans/procedures; issues, concerns, or potential obstacles to implementing their program and strategies for addressing them; planning/TT&E activities and milestones for accomplishing; ERG members, infrastructure, communications, transportation, and other resources needed to support the program; budgetary requirements; risk management principles and primary and Continuity facility risk assessments to ensure appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences; geographic dispersion into the organization's normal daily operations; security strategies addressing personnel, physical, and information security to protect plans, personnel, facilities, and capabilities; and a CAP. For additional information, see FCD 1, Annex C.

[Organization Name] has developed a Continuity MYSPMP that provides for the development, maintenance, and annual review of Continuity capabilities. **[Organization Name]** integrates the Continuity budget with its MYSPMP and links the budget directly to objectives and metrics set forth in that Plan. A copy of the MYSPMP is found **[location]**. The MYSPMP is found at **[location]**.

CONTINUITY BUDGETING
As outlined in the MYSPMP, **[Organization Name]** budgets for and acquires those capabilities essential to Continuity. A copy of the Continuity budget is found **[location, office]**. Within this budget, **[Organization Name]** budgets for Continuity capabilities in accordance with NSPD 51/HSPD 20, National Communications System Directive 3-10, and other applicable directives, and provides for 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 **[methodology]** and a copy of the Risk Management documents can be found **[location, office]**. 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 **[location]** and maintained by **[office/title]**. During an emergency situation, **[office/title]** is responsible for oversight and handling of emergency work by contractors.

Plan Development and Maintenance
This section describes the process the organization uses to maintain a current plan. It identify who is responsible for plan currency, how often the organization 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. The plan will be updated or addended 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.

Authorities and References
This section should cite a list of authorities and references mandating the development of this Continuity Plan and provide guidance towards acquiring the requisite information contained in this Plan. FCD 1, Annex Q, provides a list of authorities and references.

This page intentionally left blank.

FUNCTIONAL ANNEXES

Functional Annexes add specific information and direction to the base Plan and 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 FCD 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.

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 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 Group Checklist*
  - *Essential Functions Checklist*
  - *Continuity Site Acquisition Checklist*
  - *Emergency Operating Records*
  - *IT Checklist*
  - *Emergency Equipment Checklist*
  - *Delegations of Authority*
  - *Orders of Succession*
  - *Maps and directions to the Continuity facility and seating chart*

This page intentionally left blank.

ANNEX A. ESSENTIAL FUNCTIONS

All organizations must identify and prioritize their Essential Functions, which serve as the framework for the Continuity Plan. The Essential Functions section must include a list of the organization's prioritized MEFs and PMEF, if applicable. The Continuity Plan must identify the components, processes, and requirements that ensure the continued performance of the organization's MEFs and PMEFs. Organizations should account for all Continuity capabilities required for the performance of Essential Functions.

Per FCD 2, the steps taken to identify MEFs and PMEFs include:
1. *Conduct a MEF 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.*
    - *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 organization 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 the 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 Interagency Board (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 organization's Continuity Coordinator reviews and validates the BIA by initializing the appropriate column of the BIA Worksheet.*
Sample text for this section includes:

[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 **[list 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 organization-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 **[location/ document name]** and is maintained by **[office/title]**.
- MEF Identification Worksheet #2. This worksheet is documented at **[location/ document name]** and is maintained by **[office/title]**.
- MEF BPA Worksheet. This worksheet is documented at **[location/document name]** and is maintained by **[office/title]**.
- MEF Business Process Elements Worksheet. This worksheet is documented at **[location/document name]** and is maintained by **[office/title]**.

[Organization Name] MEFs, as validated and approved by the **[organization head title]**, are as follows: **[list MEFs]**.

Mission Essential Function

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, 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 **[location/ document name]** and is maintained by **[office/title]**.
- PMEF Candidate Worksheet. This worksheet is documented at **[location/document name]** and is maintained by **[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 **[location/ document name]** and is maintained by **[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 National Continuity Coordinator 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 National Continuity Coordinator or other applicable senior officials for non-Federal and private sector entities, **[Organization Name]** conducted and documented a BIA to determine the level of risk, recovery time, criticality, and required mitigation strategies. This **[Organization Name]** BIA is located **[location]** and maintained by **[office/title]**.

ANNUAL REVIEW OF ESSENTIAL FUNCTIONS AND BPAS
[Organization Name] annually reviews its Essential Functions and BPAs. The date(s) of review and individuals conducting the review is reflected in Section II: Annual Review and Update.

ESSENTIAL FUNCTIONS' TELEWORK CAPABILITY
FCD-1 requires organizations to incorporate telework into Continuity plans and procedures and to include the assessment of which functions must be conducted onsite versus telework.

[Organization Name] has assessed the organization's Essential Functions to identify which functions the organization must conduct onsite and which functions the organization can

conduct via telework, including evaluating the use of telework for supporting extended Continuity operations and use by non-ERG personnel.

Essential Function	Telework (Y/N)

[Organization Name] plans and procedures on how to use telework as a primary or back-up Continuity strategy for those Essential Functions and supporting tasks that are telework authorized can be found at **[location].**

PANDEMIC INFLUENZA EXPOSURE RISK LEVEL
For those Essential Functions that cannot be conducted by telework, organizations must identify exposure risk level for pandemic influenza and notify employees they are required to work onsite during a pandemic influenza.

[Organization Name] has assessed the organization's Essential Functions to identify which functions the organization must conduct onsite and which functions the organization can conduct via telework, including evaluating the use of telework for supporting extended Continuity operations and use by non-ERG personnel. For those Essential Functions employees must conduct onsite, **[Organization Name]** classified jobs by exposure risk level to pandemic influenza. Organizations must notify these employees they are expected to work onsite during an influenza pandemic.

Essential Function	Pandemic Influenza Exposure Risk Level

This page intentionally left blank.

ANNEX 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.

CONTINUITY POCS
[Organization Name] has selected at least one Continuity point of contact (POC) to support **[Organization's]** Continuity program and to serve as the primary liaison between the Continuity program and component ERG members. Each Continuity POC is critical to the effective and efficient implementation of the **[Organization Name]** Continuity Plan and the readiness and preparedness of ERG members to perform the Essential Functions. Responsibilities may include:

SAMPLE: Continuity POC Responsibilities

The following table shows the responsibilities of Continuity POCs.

Continuity POC Responsibilities
Administrative duties may include attending Continuity Working Group Meetings, program specific event meetings, and providing guidance and updates to component personnel as required.
Program responsibilities will include updating plans, facilitating the process of identifying and reviewing component Essential Functions, maintaining rosters, ensuring Orders of Succession, Delegations of Authority, and Essential Records are up to date.
Participate in training and exercises and work with their Devolution program components.

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, which can include Continuity POCs, ERG members, and DERG 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 **[office/title]** and is found at **[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 **[office/title]** and is found at **[location].**
- Officially informed all Continuity personnel of their roles or designations by providing documentation in the form of **[documentation type]** to ensure that Continuity personnel know and accept their roles and responsibilities. Copies of this documentation is maintained by **[office/title]** and found at **[location].**
- Ensured Continuity personnel participate in their organization's Continuity TT&E program, as reflected in training records. Training records are maintained by **[office/title]** and found at **[location].**
- Provided guidance to Continuity personnel on individual preparedness measures they should take to ensure response to a Continuity event using **[guidance methods]**. Copies of this guidance is maintained by **[office/title]** and found at **[location].**
- Ensured that all applicable collective bargaining obligations for ERG and DERG members are satisfied.

ERG AND DERG MEMBERS
[Organization Name] has identified who within their organization will perform their organization's Essential Functions. Each ERG and DERG member is selected by his/her respective supervisor or other designated component official. After the ERG/DERG member has been selected, he/she should receive an official letter, signed by **[Title of Organization Leader with Designation Authority]** designating him/her as a member of the ERG or DERG. Note: When selecting an ERG/DERG member, identify any special needs and provide them to the Alternate Facility Building Manager. Below are criteria for ERG/DERG selection.

SAMPLE: ERG/DERG Member Selection Criteria

The following table shows sample criteria for selecting ERG members.

ERG/DERGe
Possess the skills needed to perform predetermined MEFs that must be performed, regardless of the operational status of the HQ primary operating facility.
Has knowledge and expertise in performing the MEFs.
Has a current episodic telework agreement.
Has attended training required to perform duties.
Has the ability to report within the required time frame.
Has the ability to handle stressful situations.
Has the ability to work in a team environment.

Each Continuity member is selected by **[office/title]** based upon the:

- Predetermined Essential Functions that must be performed, regardless of the operational status of the **[Organization Name]** primary operating facility;
- Member's knowledge and expertise in performing these Essential Functions; and,
- Member's ability to rapidly deploy to the relocation site in an emergency situation.

SAMPLE: Continuity Personnel Roster

The following table shows an example of a partial Continuity personnel roster.

Essential Function	Title/ Position	Name	Telephone Numbers	Additional Information
Add Essential Function here	Division Head, Enforcement Division	John Smith	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	Alternate: Deputy Division Head, Enforcement Division	Jane Doe	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
Add Essential Function here	Chief, Enforcement Branch	Sally Dune	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	Alternate: Deputy Chief, Enforcement Branch	Jim Rich	H: (###) ###-#### W: (###) ###-#### C: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses

For additional information on Essential Functions, see FCD 1, Annex D, or FCD 2. Worksheets presented in this section are found in the Annexes of FCD 2. For additional information on Continuity personnel rosters, see FCD 1, Annex J.

SAMPLE: ERG Designation Letter

The following shows an example of a designation letter for Continuity personnel.

DATE: **[Date of Signature]**

MEMORANDUM FOR: **[ERG Member Name]**
                                  [Title]
                                  [Division]

FROM: **[Supervisor Name]**
                                  [Title]
                                  [Division]
                                  [Office /Component (Symbol)]

SUBJECT: Notification of Selection of Emergency Relocation Group
                                  Team Member

You have been designated as an Emergency Relocation Group (ERG) member for the **[Office /Component].** The **[Office /Component]** ERG team consists of Headquarters (HQ) employees who are required to continue the **[Office /Component]** Continuity Essential Functions during an emergency. The **[Office /Component]** ERG members are vital to the **[Organization Name]** HQ operations and required to continue the **[Organization Name]** Essential Functions during and after an emergency.

As a **[Office /Component]** ERG member, you will be notified for a Continuity of Operations activation and deployment. When the **[Organization Name]** Essential Functions can no longer be performed at HQ due to a local, regional, or national emergency, and it becomes necessary to conduct operations at an Emergency Relocation Site (ERS) or alternate facility, the ERG will be activated and you will be deployed. As an ERG member, you must have an episodic Telework agreement and deploy as instructed and be prepared to remain at the ERS or an alternate facility for up to 30 days or until normal operations resume.

In the event of an emergency situation, regardless of weather conditions or any other public announcements of dismissal or suspension of activities, you must report for duty at the location pre-designated as the ERS or alternate facility, unless otherwise directed. If you cannot report for duty because your personal safety is in jeopardy, please contact your supervisor, his/her designated successor, or the Continuity Point of Contact (POC) immediately.

The specific ERG member responsibilities are as follows:
- Be thoroughly familiar with the **[Organization Name]** HQ Continuity Plan;
- Understand the essential function(s) to be performed during the Continuity event and the location where the function(s) will be performed;

- Identify all personal and professional materials required to activate the Continuity Plan. To the maximum extent possible, pre-position these materials at the ERS;
- Prepare a drive-away kit as needed that contains all personal and professional items not yet pre-positioned for activation;
- Ensure that all essential records, necessary data, files, databases, etc., are copied to the **[Organization Name]** Continuity essential records folder on a daily basis;
- Participate in **[Organization Name]** HQ Continuity Tests, Training, and Exercises;
- Be accessible 24-hours-a-day, 7 days a week for potential notification of Continuity activation and deployment;
- Make arrangements in advance to ensure that someone else will satisfactorily address personal and home responsibilities during a possible extended absence;
- Relocate, when notified, according to directions provided;
- Report to the ERS and begin performing Essential Functions as required; and
- Continue performing essential function(s) throughout the duration of the Continuity activation and assist in the reconstitution process, if necessary.

The Continuity facility is **[Continuity site name location and address]**. Directions and instructions of how to report to the ERS are located in **[provide location in Continuity Plan]**.

You will receive the following items or aids from your Continuity POC for your information and usage:
- Signed copy of this memorandum;
- Copy of the **[Organization Name]** HQ Continuity Plan;
- Copy of the most current notification roster; and
- Continuity essential records folder information.

If you have any questions about Continuity or your ERG responsibilities, please contact [**Continuity POC Name**] by telephone at **[(XXX) XXX - XXXX]**.

You are required to acknowledge receipt of this memorandum by signing in the space provided below. Your signature also signifies you understand the ERG responsibilities and accept your assignment to the **[Office /Component]** ERG:

[ERG Member Name]: _____
Date: _____

This page intentionally left blank.

ANNEX C. ESSENTIAL RECORDS MANAGEMENT

The identification, protection, and ready availability of essential 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:

"Essential 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 essential records program into the overall Continuity program, plans, and procedures.

[Organization Name]'s essential records program incorporates into the overall Continuity Plan with a clear authority to include:
- Policies
- Authorities
- Procedures
- Written designation of **[Organization Name]** essential records manager

[Organization Name]'s official essential 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 essential records, including:
- A local area network;
- Electronic versions of essential records;
- Supporting information systems and data;
- Internal and external e-mail and e-mail archives;
- Hard copies of essential records; and,
- **[Insert any other media here]**

IDENTIFYING ESSENTIAL RECORDS
[Organization Name] has identified the following as vital to its operations, and has assigned responsibility for those records to **[personnel or office]**, 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 essential records, along with the locations of and instructions on accessing those records. These records are located at **[location/ office]**. This inventory will be maintained at a back-up/off-site location located

at **[location]** by **[office]** to ensure Continuity if the primary site is damaged, destroyed, or unavailable.

[Ofice] developed and maintains an essential records plan packet, which is an electronic or hard copy compilation of key information, instructions, and supporting documentation needed to access essential records in an emergency situation. The **[Organization Name]** essential records plan packet is located at **[location/office]**. The packet or collection includes:

- A hard copy or electronic list of **[Organization Name]** key organization and Continuity personnel with up-to-date telephone numbers;
- An essential records inventory with the precise locations of essential records prepared by **[office];**
- Updates to the essential 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 **[office]** and located at **[location];**
- A copy of the **[Organization Name]** Continuity Plan; and,
- **[Add any other documents included in the packet.]**
-

For the above items, **[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 **[location/office]**.

This packet will be annually reviewed by **[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 facility and **[other locations]**, so it is easily accessible to appropriate personnel when needed.

PROTECTING ESSENTIAL RECORDS

The protection of essential 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 an essential records and database risk assessment to:

- Identify the risks involved if essential records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed;
- Identify off-site storage locations and requirements;
- Determine if alternative storage media is available; and,
- Determine requirements to duplicate records and provide alternate storage locations to provide readily available essential records under all conditions.

The essential records and database risk assessment was performed by **[office]** and is located **[location]**.

Appropriate protections for essential records will be provided by **[office]** and will include dispersing those records to other organization locations or storing those records off-site. Other protections include **[add additional protections, 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]** essential records program includes a training program conducted by **[office]** for all staff, to include periodic briefings to managers about the essential records program and its relationship to their essential records and business needs. **[Organization Name]** staff training focuses on identifying, inventorying, protecting, storing, accessing, and updating the essential records. Training records for essential records are maintained by **[office]** and are found at **[location]**.

[Organization Name] essential records program includes an annual review of the program to address new security issues, identify problem areas, update information, and incorporate any additional essential records generated by new agency programs or functions or by organizational changes to existing programs or functions. The review is conducted by **[office]**. The review provides an opportunity to familiarize staff with all aspects of the essential records program. It is appropriate to conduct a review of the essential records program in conjunction with **[Organization Name]** Continuity exercises. Documents confirming review of the essential records program are maintained by **[office]** and are found at **[location]**. At a minimum, **[Organization Name]** essential records are annually reviewed, rotated, or cycled so that the latest version will be available.

[Organization Name] conducts annual testing, documented in **[Organization Name]** testing records, of the capabilities for protecting classified and unclassified essential records and for providing access to them from the alternate facility. Testing records for essential records are maintained by **[office]** and are found at **[location]**.

SAMPLE: Essential Records Inventory

The following table shows examples of essential files, records, and databases.

Essential 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	#1	Electronic	X		Y	Monthly
List of Licensed Spill Cleanup Contractors	#1, #3	Hardcopy		X	N	Quarterly
List of Regional Dams	#2	Hardcopy		X	N	Annually
Pollution/Chemical Incident Database	#3, #4	Electronic	X		N	Monthly
Public and Private Sewage System Records	#3, #4, #5	Electronic	X		Y	Quarterly

For additional information on essential records management, see FCD 1, Annex I..

ANNEX D. CONTINUITY FACILITIES

All organizations must identify and maintain at least one alternate facility and a Devolution site. These sites 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:

ALTERNATE SITE INFORMATION

The **[Organization Name**] primary Continuity facility is located at **[facility name and address**]. 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:

- This facility is **[rented/owned]** by **[Organization Name]**.
- **[Important contact information for the site, including security, medical, and on-site personnel.]**
- **[Security and access requirements.]**
- **[Medical support at or near the site.]**

[Other amenities available at or near the site, including restaurants, stores, banks, and gas stations.]

DEVOLUTION SITE INFORMATION

The **[Organization Name**] Devolution facility is located at **[facility name and address]**. 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:

- This facility is **[rented/owned]** by **[Organization Name]**.
- **[Important contact information for the site, including security, medical, and on-site personnel.]**
- **[Security and access requirements.]**
- **[Medical support at or near the sit.e]**

[Other amenities available at or near the site, including restaurants, stores, banks, and gas stations.]

Repeat this information for each additional Continuity facility used by your organization.

CONTINUITY FACILITY INFORMATION

[Organization Name] has designated Continuity facilities as part of its Plan and has prepared ERG personnel for the possibility of unannounced relocation to these sites to continue Essential Functions. **[Organization Name]** completed and forwarded aSF 336 for each facility to GSA, as applicable. A copy of the form is found at **[location]**.
[Organization Name] reevaluates its Continuity facility at least annually and whenever the Continuity plans are reviewed and updated; date of review and names of personnel

conducting the review can be found at the beginning of this Plan. **[Organization Name]** ensures the continued availability of facility space and services by coordinating with site facility managers and property owners, if applicable.

[Organization Name] [does/does not] maintain Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) and reviews the MOA/MOU annually, as applicable. If applicable, the MOA/MOU specifies the required notification time for the owner/occupant of the facility to have it configured and available for occupancy as a Continuity facility, space and services to be provided at the facility, and sole use of allocated space by the organization during the period of occupancy.

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 organization]**. A copy of the MOA/MOU is found **[location]** and maintained by **[office name]**. Either prior to activation or within designated timeframes (12 hours for PMEFs and MEF, and the acceptable recovery time determined for other Essential Functions), the **[Organization Name]** Continuity facility provides the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

- Sufficient space and equipment, including computer equipment, software, information systems, and other automated data processing equipment necessary to carry out Essential Functions (up-to-date with the latest software and system updates). The Continuity facility is able to accommodate **[number]** personnel. Facility floor plans, equipment inventory, and **[other applicable documents]** are found at **[location]**.
- Capability to perform Essential Functions as soon as possible after Continuity activation with minimal disruption of operations, the ability to maintain this capability for up to 30 days or until normal operations resume, and the capability to perform these Essential Functions under all threat conditions.
- Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[location]** from **[office or personnel name]**.
- Consideration for health, safety, security, and emotional well-being of personnel. Considerations available at the alternate site include **[add considerations, such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security]**.
- Interoperable communications for effective interaction. Additional information on Continuity communications is found **[location]** in this Plan.
- Capabilities to access and use essential records. Additional information on accessing essential records is found **[insert location]** in this Plan.
- Systems and configurations used in daily activities. IT support at the Continuity facility is **[access to IT support]**. Details on the systems and configurations are available at **[location]** from **[office or personnel name]**.
- Emergency/back-up power capability. Details on the power capability are available at **[location]** from **[office or personnel name]**.
- Sufficient levels of physical and information security to protect against all threats, as identified in the facility's risk assessment and physical security surveys. This includes sufficient personnel to provide perimeter, access, and internal security, as required by organization policy.

CONTINUITY FACILITY LOGISTICS
[Organization Name] Continuity facility maintains pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. 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 teamss and ERG personnel are transported to the Continuity facility via **[transportation methods, rally points, notification method, back-up transportation methods, and any other necessary information]**.
- During a with warning event, advance teams and ERG personnel are transported to the Continuity facility **[transportation methods, rally points, notification method, 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 site by **[add 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 facility. **[Organization Name]** accomplishes this orientation through **[means of orientation such as deployment exercises, orientation sessions at the site, and briefings]**. This familiarization training is reflected in organization training records located **[location]**.

Further, **[Organization Name]** annually trains and prepares its personnel for the possibility of an unannounced relocation to the Continuity facility. This training is reflected in organization training records located **[location]**.

For additional information on Continuity facilities, see FCD 1, Annex G.

This page intentionally left blank.

ANNEX E. 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 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 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 gives 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 **[location]**.

In accordance with the National Communications System's Directive 3-10, if applicable, **[Organization Name]**:

- 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.

- 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 **[office/title]** and are located [location].

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: Continuity Communications

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					
Secure Cellular Phones					
Satellite					
Secure Satellite Phones					
Pagers					

Communication System	Support to Essential Function	Current Provider	Specification	Alternate Provider	Special Notes
E-mail					
Internet Access					
Data Lines					
Two-Way Radios					
GETS Cards					
[Add additional options]					

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 HQ 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 HQ and alternate facility locations as well as mobile capabilities, as required, to 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 ensuring each entity will have adequate access to communications resources.

[Organization Name] possesses communications capabilities to support the organization's senior leadership while in transit to the alternate facility. These capabilities are maintained by **[office/title]** and documentation regarding these communications capabilities is found **[location or list capabilities below]**.

[Organization Name] satisfies the requirement to provide assured and priority access to communications resources, including Government Emergency Telephone Service (GETS), Wireless Priority Service (WPS), and Telecommunications Service Priority (TSP).

- All ERG members have been issued GETS cards
- **[Organization Name]** has pre-positioned GETS cards for emergency use at all primary and Continuity facilities in the quantity equal to 50% of the total number of ERG personnel assigned to use the particular facility.

- All ERG members have government-issued cellular telephones that are WPS-capable and have WPS activated.
- All primary and Continuity facility circuits supporting Continuity communications are included in the TSP program.

The **[Organization Name]** point-of-contact for these services is **[office/title]**.

For those organizations with Top Secret/Sensitive Compartmented Information systems interoperable with the Joint Worldwide Intelligence Communications System at their Continuity facility, include the following in your plan: **[Organization Name]** maintains with Top Secret/Sensitive Compartmented Information systems that are interoperable with the Joint Worldwide Intelligence Communications System at the Continuity facility, and ensures universal and remote access in compliance with Intelligence Community Standard Number 500-19.

For additional information on Continuity communications, see FCD 1, Annex H.

This page intentionally left blank.

ANNEX F.   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 plans, procedures, and policies to safeguard and protect these critical components, including Orders of Succession, Delegations of Authority, and Human Resources.

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 personnel as changes occur. Heads of Category I and II HQ organizations, as identified in NSPD 51/HSPD 20, must include at least one individual in their Order of Succession who is geographically dispersed from the organization head and other individuals within the Order of Succession. All organizations should include an individual geographically dispersed in all HQ and non-HQ Orders of Succession, where feasible. 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 **[leadership positions requiring Orders of Succession, including the organization head and other key positions]**. A copy of these Orders of Succession is found **[location]**. **[Office/title]** is responsible for ensuring Orders of Succession are up-to-date. When changes occur, **[office/title]** immediately distributes the changes as they occur to **[offices/groups]**, to include organization authorities, potential successors, affected staff, and other, by **[distribution method]**.

[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 or Chief Counsel for legal sufficiency, as changes occur; and,
- Included as essential files, with copies accessible and/or available at both the primary and Continuity facilities at **[locations].**

SAMPLE: Order of Succession

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 organization directives.

- **[List any temporal, geographical, and/or organizational limitations to the authorities in the Orders of Succession.]**

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, **[office/title]** will initiate a notification of the next successor in line. **[Add additional notification methods and procedures.]** **[Office/title]** will use the following procedures to notify internal and external stakeholders of the change in leadership: **[Add additional notification methods and procedures.]**

[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 **[training methods]**. This training is reflected in **[Organization Name]** training records located **[location]**.

For additional information on Orders of Succession, see FCD 1, Annex E.

DELEGATIONS OF AUTHORITY
This section should identify, by position, the legal authority for individuals to make key policy decisions during a Continuity event. A Delegation of Authority should outline explicitly in a statement the authority of an official so designated to exercise the organization's direction. Organizations at all levels must coordinate the development and revision of Delegations of Authority with their General or Chief Counsel to ensure legal sufficiency. 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. Predetermined 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.
- **[Add additional Delegations of Authority.]**

[Organization Name]'s delegations of authorities are found at the Continuity facility and at **[insert location]** and:
- Are included as essential records;
- Are written in accordance with applicable laws ensuring that the organization's PMEFs and MEFs are performed
- Outline explicitly in a statement the authority of an official to re-delegate functions and activities, as appropriate
- Delineate the limits of and any exceptions to the authority and accountability for officials
- 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 event. 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 event at least annually for all pre-delegated authorities for making policy determinations and all levels using **[training methods]**. This training is reflected in the organization's training records located **[location]**.

SAMPLE: Delegation of Authority
[Organization Name]
Delegation Number: **[Number]**
Issue Date: **[Date]**

DELEGATION OF AUTHORITY
AND SUCCESSION FOR THE
[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 **[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 **[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 **[title of organization head]** is vacant as that term is used in the Federal Vacancies Reform Act of 1998, the **[title]** shall act until a successor is appointed.

[Order of Succession]

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 **[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 **[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.
[Add additional applicable authorities.]

OFFICE OF PRIMARY INTEREST
The Office of the **[title of organization head]** is the office of primary interest in this delegation.

CANCELLATION
[Insert previous Delegation of Authority] to Office of the **[title of organization head]** is hereby rescinded.

[Organization Head Signature]
[Organization Head's Name]
[Organization Head's Title]
[Organization Name]
[Date]

[General Counsel Signature]
[General Counsel's Name]
[General Counsel's Ttitle]
[Organization Name]
[**Date**]

For additional information on Delegations of Authority, see FCD 1, Annex F.

This page intentionally left blank.

ANNEX G. HUMAN RESOURCES

This section focuses on the organization's Continuity personnel and all other special categories of employees not been designated as Continuity personnel. This section should concentrate emergency preparedness for all staff, telework, and Human Resources considerations. Sample text for this section includes:

[Organization Name] has developed Human Resources guidance for Continuity events between the Director of Human Resources, Telework Managing Officer, and Continuity Manager.

ALL STAFF EMERGENCY PREPAREDNESS
[Organization Name] staff, including contractors, are encouraged to take active measures to plan and prepare for emergencies, including developing Family Emergency Plans, and to stay informed during an emergency.

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.

- In the event of an emergency, **[Organization Name]** will contact and account for all staff, including contractors, and communicate the operating status. **[Add procedures for the organization to communicate with and account for all staff, including contractors.]**
- **[Organization Name]** employees are expected to remain in contact with **[office/title, such as supervisors]** during any closure or relocation situation and are responsible for reporting their accountability status. **[Add procedures to communicate how, and the extent to which, employees are expected to remain in contact with the organization during any closure or relocation situation.]**
- **[Organization Name]** ensures staff are aware of and familiar with Human Resources guidance in order to continue Essential Functions during an emergency. **[Organization Name]** uses the following methods to increase awareness: **[add methods, such as utilizing an intranet website or employee orientation briefing.]**
- *If the organization creates procedures that impact bargaining unit employees, include in your plan:* **[Organization Name]** has worked with the impacted labor unions in developing and bargaining over Human Resources procedures, where applicable.

Accounting for all personnel during a Continuity event is of utmost importance. In order to account for all staff, **[Organization Name]** will **[add accountability process, such as call trees, an automated system, a 1-800 number, etc.]**. Accountability information is reported to **[office/title]** at **[inset number]** hour increments. **[Office]** has the responsibility of attempting contact with unaccounted for individuals.

An event that requires the activation of the Continuity Plan may personally affect **[Organization Name]** staff. Therefore, the **[office]** has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with

special Human Resources concerns following a catastrophic disaster. These provisions and procedures are found at **[location]**.

HUMAN RESOURCES CONSIDERATIONS
The **[Organization Name]** Continuity program, plans, and procedures incorporate existing organization-specific guidance and direction for Human Resources management, including guidance on pay, leave, work scheduling, benefits, telework, hiring, authorities, and flexibilities. The **[office]** has the responsibility for **[Organization Name]** Human Resources issues. A copy of these policies and guidance is found **[location]**.

The **[Organization Name]** Continuity Coordinator and Continuity Manager work closely with the **[Human Resources office/title]** to resolve Human Resources issues related to a Continuity event. **[Office/title]** serves as the **[Organization Name]** Human Resources 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 Resources issues. This guidance is integrated with Human Resources procedures for its facility, geographic region, and the Office of Personnel Management (OPM) or similar organization. This guidance is maintained by **[office/title]** and found at **[location]**. **[Organization Name]** has issued Continuity guidance for Human Resources on the following issues:
- Additional Staffing: **[add guidance here or guidance location].**
- Work Schedules and Leave: **[add guidance here or guidance location].**
- Employee Assistance Program: **[add guidance here or guidance location].**
- Special Needs Employees: **[add guidance here or guidance location].**
- Telework: **[add guidance here or guidance location].**
- Benefits: **[add guidance here or guidance location].**
- Premium and Annual Pay Limitations: **[add guidance here or guidance location]. [Add additional topics.]**

Further, **[office/title]** communicates Human Resources guidance for emergencies (pay, leave, staffing, scheduling, benefits, telework, hiring authorities, and other human flexibilities) to all staff in an effort to help continue Essential Functions during an emergency. The process for communicating this information is as follows: **[add communication methods and processes]**.

TELEWORK
All organizations must incorporate telework into their Continuity Plan and procedures by assessing the organization's Essential Functions to identify which functions the organization must conduct on-site and which functions the organization can conduct via telework, including evaluating the use of telework for supporting extended Continuity operations and use by non-ERG personnel.
- *For those Essential Functions that employees must conduct on-site, organizations on-site, organiz must classify jobs by exposure risk level to pandemic influenza;*

Organizations must notify these employees that they are expected to work on-site during an influenza pandemic;

- *Establishing and maintaining plans and procedures to use telework as a primary or back-up Continuity strategy for those Essential Functions and supporting tasks that are telework authorized, based upon the assessment;*
- *Establishing a policy under which eligilble employees, both ERG and non-ERG personnel, are authorized to telework during a Continuity event;*
- *Notifying all employees of their eligibility to telework during a Continuity activation;*
- *Ensuring each eligible employee is authorized to telework during a Continuity; activation by successfully completing an interactive telework training program prior to entering into and signing a written telework agreement with his/her supervisor; and,*
- *Coordinating with the organization's designated Telework Managing Officer when developing and integrating the organization's Continuity plan.*

When using telework as a primary or back-up Continuity strategy, **[Organization Name]** adheres to policy and guidance governing the use of telework; provides protection of information and information systems used during telework activities according to government standards; coordinates with the organization's Chief Information Officer to identify equipment and technical support requirements; provides access to essential records and databases and the robust communications necessary to sustain an organization's Essential Functions at the telework site locations; and ensures continuance of a viable Continuity capability in the event that telework is not a viable option (i.e. significant electrical and/or telecommunications infrastructure degradation).

[Organization Name] has coordinated with the organization Telework Managing Officer to incorporate telework into its Continuity planning. Essential Functions that can be completed through telework have been identified in this Plan's Essential Functions section. All employees eligible to telework during a Continuity activation have been notified of this telework eligibility, have completed an interactive telework training program, and have a signed a written telework agreement with their supervisors.

For additional information on Human Resources, see FCD 1, Annex J.

This page intentionally left blank.

ANNEX H. TEST, TRAINING, AND EXERCISES PROGRAM

All organizations must develop and maintain a Continuity 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:

CONTINUITY EXERCISE RECORD

On an annual basis (fiscal year), all non-HQ organization entities (subcomponent, regional, field offices) must submit to its organization HQ documentation on its Continuity efforts. This documentation includes certification by the organization head or designee that the component/office participates in an annual exercise that incorporates the deliberate and preplanned movement of Continuity personnel to an alternate site and the date of last exercise.

At least once a fiscal year, **[Organization Name]** conducts exercises for both HQ and non-HQ components that incorporate the deliberate and preplanned movement of Continuity personnel to an alternate site.

SAMPLE: Annual Exercise Record

The following table shows an example of how to document the past fiscal year's annual exercise

Element Reviewed	Date of Exercise	Certified By	Certification Date
Headquarters exercise			
Non-headquarters component/office exercise			

[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 National Continuity Coordinator and the President or other applicable senior officials. Assistance includes **[add examples, such as participation on a working group and providing controllers and/or evaluators]**. Additional documentation of this assistance is found **[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	Annual	Biennial	Periodic
Test alert, notification, and activation procedures for Continuity and Devolution personnel.			✓		
Test alert, notification, and activation procedures for HQ personnel.		✓			
Test plans for recovering essential records and information systems (both classified and unclassified), services, and data.			✓		
Test plans for protecting essential records and information systems (both classified and unclassified) and for providing access to them from the Continuity facility.			✓		
Test primary and backup infrastructure systems and services, such as power, water, and fuel, at Continuity facility.			✓		
Test and exercise plans for physical security capabilities at Continuity facility.			✓		
Test and validate equipment to ensure internal and external interoperability and viability of communications equipment and systems.		✓			
Test the capabilities required to perform an organization's Essential Functions, as identified in the BPA.			✓		
Test telework capabilities, to include IT infrastructure, required to support telework options during a Continuity event.			✓		
Test internal and external interdependencies identified in the organization's Continuity Plan, with respect to performance of an organization's and other organizations' Essential Functions.			✓		
Train ERG/DERG members on organization Continuity and Devolution plans that involve using or relocating to Continuity facilities, existing facilities, or other work arrangements, such as telework.			✓		
Train ERG/ DERG members on all Reconstitution plans and procedures to resume normal organization operations at the original primary operating facility or replacement primary operating facility.			✓		
Train ERG/DERG members on the activation of Continuity plans, including unannounced relocation to alternate sites, to include telework options, and Devolution of Operations to Devolution site.			✓		

Continuity TT&E Requirements	Monthly	Quarterly	Annual	Biennial	Periodic
Train ERG/DERG members on the capabilities of communications and IT systems to be used during a Continuity or Devolution event.			✓		
Train ERG/DERG members 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 or Devolution activation.			✓		
Train ERG/DERG members on an organization's Devolution option for Continuity to address how each organization will identify and conduct its Essential Functions during an increased threat situation or in the aftermath of a catastrophic emergency.			✓		
Train the organization's leadership on the organization's Essential Functions, including training on their Continuity responsibilities.			✓		
Train all staff who are expected to telework during a Continuity activation regarding conducting Essential Functions from a telework site. Training must include accessing and using records, communications, and systems.			✓		
Train all organization personnel designated within the Orders of Succession for Organization Head or other key positions who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a Continuity activation.			✓		
Train those officials listed within the Delegations of Authority on all pre-delegated authorities for making policy determinations and other decisions, at the HQ, regional, field, and other organizational levels, as appropriate.			✓		
Train managers about the essential records program and its relationship to their essential records and business needs.					✓
Exercise that incorporates the deliberate and preplanned movement of ERG members to an alternate site.	Annual		✓		
Exercise to demonstrate intra- and interagency communications capabilities.	Annual		✓		

Continuity TT&E Requirements	Monthly	Quarterly	Annual	Biennial	Periodic
Exercise to demonstrate that backup data and records required to support Essential Functions at alternate sites are sufficient, complete, and current.	Annual		✓		
Exercise to demonstrate familiarity with and capability to continue Essential Functions from telework sites, if used as a Continuity strategy.	Annual		✓		
Exercise for ERG members to demonstrate their familiarity with the Reconstitution procedures to transition from a Continuity environment to normal activities when appropriate.	Biennial			✓	
Exercise for DERG members to demonstrate their familiarity with Devolution procedures.	Biennial			✓	
All organizations within the National Capital Region must annually participate in the Eagle Horizon Continuity exercise.	Annual		✓		

[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 **[office/title]** and is found **[location]**. Further, **[Organization Name]** conducts a comprehensive debriefing or Hot Wash 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 Hot Washes are found **[location]**.

SAMPLE: TT&E Documentation

The following table shows possible documentation for a TT&E event.

Event Name	Event/Type Purpose	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	**[Signature]**
Name of Participants	**Office**	**Phone/Email**	
Jane Doe	Office of the Director	jane.doe@agency.gov	/s/ Jane Doe
John Smith	Human Resources	(XXX) XXX-XXXX john.smith@agency.gov	/s/ John Smith

[Organization Name] has developed a 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 **[office/title]** and CAP documentation is found at **[location]**.

The **[Organization Name]**'s Continuity CAP:

- Identifies Continuity deficiencies and other areas requiring improvement;

- Provides responsibilities and a timeline for corrective action;

- Identifies program and other Continuity funding requirements for submission to organization leadership and the Office of Management and Budget;

- Identifies and incorporates efficient acquisition processes and, where appropriate, collects all interagency requirements into one action; and,

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 Hot Wash following March 08 exercise.	Organization should conduct a Hot Wash in order to allow participants to provide suggestions on areas of strengths and weaknesses.	Exercise director will plan and execute Hot Wash at December exercise and incorporate comments into AAR.	Planning	**[Organizatio n Name]**	Exercise Director, John Doe, (XXX) XXX-XXXX	Mar. 7, 2008	Dec. 1, 2008

For additional information on TT&E, see FCD 1, Annex K. For additional information on the Homeland Security Exercise and Evaluation Program, see https://hseep.dhs.gov.

This page intentionally left blank.

ANNEX I.   RISK MANAGEMENT

In this section, organizations should reference their risk assessment, to include a Business Impact Analysis, and risk operational plans, per FCD 1, Annex B, and FCD 2, Annex D, to summarize the hazards faced by their organization and the relative probability and impact of the hazards. In order to fully meet requirements from FCD 1 and 2, organizations have to integrate risk assessment and mitigation into Continuity programs.

[Organization Name] applies a risk-based framework across all Continuity efforts in order to identify and assess potential hazards, determine what levels of relative risk are acceptable, and prioritize and allocate resources and budgets to ensure Continuity under all manner of incident conditions.

RISK ASSESSMENT
Organizations must conduct and document a risk assessment, to include a Business Impact Analysis, against all hazards, conducted at least every five years. Per FCD1, Annex B, the assessment must include:
- *Identification of potential, known risk, and the likelihood of its occurrence, which has direct impact on the ability of the organization to support the continuation of Essential Functions;*
- *An assessment of the vulnerability of the organization and its Essential Functions to identified hazards;*
- *An assessment of the impact of the failure of the identified Essential Functions caused by identified hazards;*
- *Identification of appropriate mitigation and protective measures, to include measures necessary during a pandemic influenza;*
- *A cost-benefit analysis of implementing risk mitigation, prevention, protection, or control measures; and*
- *An operational plan to provide and implement selected mitigation, prevention, protection, or control measures, to include those necessary during a pandemic.*
-

[Organization Name] has conducted and documented a risk assessment, to include a Business Impact Analysis, against all hazards for all capabilities associated with the continuance of Essential Functions, to include all primary operating facilities, Continuity facilities, personnel, systems, and records. The Risk Management point of contact is **[title of person responsible for Risk Management]**.   The risk assessment is found at **[document name and location or insert risk assessment information].** The Risk Assessment is updated at least every five years by **[title of person responsible for updating]**. Risk-specific appendices that address the results of the **[Organization Name]** risk assessment are found later in the plan.

RISK MITIGATION PLANS
Organizations must develop operational plans to provide and implement selected mitigation measures, to decrease the threat of and impact from identified risks, to include pandemic, using the following process from FCD 2, Annex D:

Evaluate Risk Mitigation Requirements and Potential Options. *Each agency must review BIA results with leadership, starting with the MEFs having the greatest MEF risk value, and determine if risk mitigation is necessary. If risk values are high because a likely threat or hazard would have a devastating impact on MEF performance and the consequences would be severe, mitigating strategies should be evaluated. When developing mitigation strategies, avoid situations that may introduce new vulnerabilities. For example, it may not be a good idea to move the performance of a MEF from a facility in a flood zone to a facility next to a chemical processing plant.*

Such strategies might include the following:
- *Alternative procedures that reduce the vulnerability to threats or hazards;*
- *Additional backup systems and personnel;*
- *Enhanced Continuity planning (Devolution plans);*
- *Additional telework flexibility; and,*
- *Additional suppliers.*

Identify Risk Mitigation Options and Develop Risk Mitigation Plan. *Develop risk mitigation options that will reduce the overall risk of failure (there may be more than one option developed to reduce a single vulnerability). For each MEF vulnerability to be mitigated, the risk mitigation plan will address the key elements.*

After implementation of the strategies, the organization monitors whether the implemented Risk Management treatments achieve desired goals and objectives, as well as whether risks facing an organization are changing. This can be done via exercises, through real-world experience, or through security vulnerability testing. A core element of the evaluation and monitoring phase involves using reporting on performance and results by developing concrete, realistic metrics.

It is critical organizations assign responsibility for monitoring and tracking effectiveness of Continuity efforts and evaluation methods are flexible and adaptable. Evaluating and monitoring implemented Risk Management strategies is similar to overall performance management of Continuity activities. The results of the monitoring step will inform subsequent iterations of the Risk Management Cycle.

The Risk Management Cycle involves a series of steps organizations can perform at different levels of detail with varying degrees of formality. The key to using this process to promote Continuity of Operations is completing each step in a way that provides accurate and adequate information to the decisionmaker so he or she can make informed decisions about how best to manage risks to Essential Functions and ensure Continuity.

[Organization Name] has developed mitigation plans for specific risks identified in the Business Impact Analysis. These plans provide and implement selected mitigation, prevention, protection, or control measures, to decrease the threat of and impact from identified risks, to include pandemic. The risk mitigation point of contact is **[title of responsible person]**. These risk mitigation plans can be found at **[document name and location or insert risk operational planning information]**.

ANNEX J. GLOSSARY

A glossary is a list of clearly defined key words and phrases used throughout the Continuity Plan and within the Continuity community.

Activation – The implementation of a Continuity plan, whether in whole or in part.

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 Sites – Alternate sites are locations other than the primary facility used to carry out Essential Functions by relocating ERG members following activation of the Continuity Plan. These sites refer to facilities, locations, and also work arrangements such as telework and mobile work concepts.

Business Impact Analysis – A method of identifying the effects of failing to perform a function or requirement.

Business Process Analysis – A method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, interdependencies, and facilities inherent in the execution of a function or requirement.

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 organizations, Tribal, State, Territorial, and local governments, and the private sector) as necessary to perform their Essential Functions.

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

Continuity Facilities – Continuity facilities is comprehensive term and refers to both Continuity and Devolution sites where Essential Functions are continued or resumed during a Continuity event. Alternate sites are locations, other than the primary facility used to carry out Essential Functions by relocating ERG members following activation of the Continuity Plan. Devolution sites are locations used to carry out Essential Functions by devolving the Essential Functions to a geographically separated facility and staff (the DERG) following activation of the devolution plan. These sites refer to not only other facilities and locations, but also work arrangements such as telework and mobile work concepts.

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.

Continuity of Government Readiness Conditions (COGCON) – For the Federal Executive Branch, the COGCON system establishes readiness levels in order to provide a flexible and coordinated response to escalating threat levels or actual emergencies, focusing on possible threats to the National Capital Region. The COGCON system establishes, measures, and reports the readiness of executive branch Continuity programs, which is independent of other Federal Government readiness systems.

Continuity of Operations – An effort within individual organizations to ensure they can continue to perform their Essential Functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Continuity Manager – The senior Continuity planner who manages day-to-day Continuity programs, represents their department or agency on the Continuity Advisory Group and working groups, as appropriate, and reports to the Continuity Coordinator on all Continuity program activities.

Continuity Personnel – Those personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations. Continuity personnel are referred to as ERG members.

Continuity Plan – A plan that details how an individual organization will ensure it can continue to perform its Essential Functions during a wide range of emergencies.

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.

Delegation of Authority – Identification, by position, of the authorities for making policy determinations and decisions at HQ, regional and 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 – Devolution requires the transition of roles and responsibilities for performance of Essential Functions through pre-authorized Delegations of Authority and responsibility. The authorities are delegated from an organization's primary operating staff to other employees internal or external to the organization in order to sustain Essential Functions for an extended period. Devolution is a Continuity option instead of or in

conjunction with relocation in order to ensure the continued performance of Essential Functions.

Devolution Emergency Relocation Group – Personnel stationed at the devolution site who are identified to conduct Essential Functions.

Devolution Site – "Devolution sites" are locations used to carry out Essential Functions by devolving the Essential Functions to a geographically separated facility and staff (the DERG) following activation of the devolution plan. These sites refer to not only other facilities, but also work arrangements such as telework and mobile work concepts.

Drive-Away Kit – A kit prepared by, and for, an individual who expects to deploy to an alternate site during an emergency. The kit contains items needed to minimally satisfy an individual's personal and professional needs during deployment, such as clothing, medications, a laptop, and other necessities.

Emergency Operating Records – Records that support the execution of an organization's Essential Functions.

Emergency Relocation Group – Staff assigned responsibility to continue Essential Functions from an alternate site in the event that their primary operating facilities are threatened or have been incapacitated by an incident.

Essential Functions – Essential Functions are a subset of government functions that are determined to be critical activities. These Essential Functions are then used to identify supporting tasks and resources that must be included in the organization's Continuity planning process. In this FCD, the term "Essential Functions" refers to those functions an organization must continue in a Continuity situation, whether the functions are MEFs, PMEFs, or Essential Supporting Activities.

Essential Records – Information systems and applications, electronic and hardcopy documents, references, and records needed to support Essential Functions during a Continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization's essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities. The term "vital records" refers to a specific sub-set of essential records relating to birth, death, and marriage documents.

Essential Records Plan Packet – An essential records plan packet is an electronic or hard copy compilation of key information, instructions and supporting documentation needed to access essential records in an emergency situation.

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 organizations to carry out identified Continuity planning requirements and assessment criteria.

Government Functions – Government functions are the collective functions of organizations, as defined by the Constitution, statute, regulation, presidential direction or other legal authorities, and the functions of the legislative and judicial branches. These functions are activities that are conducted to accomplish an organization's mission and serve its stakeholders.

Headquarters - In this FCD, the term "headquarters" refers to the central, head offices of operations for organizations identified in Annex A of NSPD-51/HSPD-20.

Interoperability – "Interoperability" has two meanings: (1) The ability of systems, personnel, or organizations to provide services to and accept services from other systems, personnel, or organizations, 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 organizations, 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. Depending on the organization, directors and managers may also serve to assist in guiding the organization and making decisions.

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

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

Multi-Year Strategy and Program Management Plan (MYSPMP) – A plan that guides the development of the Continuity program over a set number of years via process that ensures the maintenance and continued viability of Continuity plans.

National Continuity Coordinator (NCC) - The Assistant to the President for Homeland Security and Counterterrorism is the NCC. The NCC is responsible for coordinating, without exercising directive authority, the development and implementation of Continuity policy for executive branch organizations.

National Continuity Policy – It is the policy of the United States to maintain a comprehensive and effective Continuity capability composed of COOP and COG 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 are necessary to lead and sustain the Nation during a catastrophic emergency and that, therefore, must be supported through COOP and COG capabilities.

Orders of Succession – Orders of succession are a formal, sequential listing of organization positions (rather than specific names of individuals) that identify who is authorized to assume a particular leadership or management role under specific circumstances.

Organization Head – The highest-ranking official of the organization, or a successor or designee who has been selected by that official.

Organizations – Those executive departments enumerated in 5 U.S.C. § 101, together with the 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, commissions, bureaus, boards, and independent organizations are referred to in this document as "organizations."

Primary Mission Essential Functions (PMEFs) – Those organization MEFs, 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 facility where an organization's leadership and staff operate on a day-to-day basis.

Readiness Reporting System (RRS) – A DHS program to collect and manage Continuity capability data and assessments of executive branch organizations and their status to perform their PMEFs in support of the 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 organization personnel resume normal organization 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.

Redundancy – The state of having duplicate capabilities, such as systems, equipment, or resources.

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 – A systematic examination of the components and characteristics of risk.

Risk Assessment – A product or process which collects information and assigns values to risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision making.

Risk Management – Risk management is the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken.

Telework – A work flexibility arrangement under which an employee performs the duties and responsibilities of such employee's position, and other authorized activities, from an approved worksite other than the location from which the employee would otherwise work.

Tests, Training, and Exercises (TT&E) – Measures to ensure that an organization's Continuity plan is capable of supporting the continued execution of the organization's Essential Functions throughout the duration of a Continuity event. TT&E activities are designed to familiarize, impart skills and ensure viability of Continuity plans.

ANNEX K. AUTHORITIES AND REFERENCES

The following are the authorities and references for this Continuity Plan.

AUTHORITIES:

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

- Executive Order 12148, *Federal Emergency Management*, dated July 20, 1979, as amended.

- Executive Order 13618, *Assignment of National Security and Emergency Preparedness Communications Functions*, dated July 6, 2012, as amended.

- Executive Order 12656, *Assignment of Emergency Preparedness Respons*ibilities, dated November 18, 1988, as amended.

- The Homeland Security Act of 2002 (Public Law 107-296), dated November 25, 2002.

- Executive Order 13286, *Establishing the Office of Homeland Security*, dated February 28, 2003.

- Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, dated February 28, 2003.

- Homeland Security Presidential Directive 7, *Critical Infrastructure Identification*, dated December 17, 2003.

- Homeland Security Presidential Directive 8, *National Preparedness*, dated December 17, 2003.

- National Security Presidential Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 9, 2007.

- National Communications System Directive 3-10, *Minimum Requirements for Continuity Communications Capabilities*, dated November 7, 2011, as amended.

- National Continuity Policy Implementation Plan, dated August 2007.

- Federal Continuity Directive 1 (FCD 1), *Federal Executive Branch National Continuity Program and Requirements*, dated October 2012, as amended.

- 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:

- Presidential Decision Directive 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas*, dated May 22, 1998.

- 36 CFR, Part 1236, *Management of Vital Records*, revised as of October 2, 2009, as amended .

- 41 CFR 101.20.103-4, *Occupant Emergency Program*, revised as of July 1, 2000.

- HSPD 1, *Organization and Operation of the Homeland Security Council*, dated October 29, 2001.

- NIST Special Publication 800-34, *Contingency Planning Guide for Information Technology Systems*, dated November 2010, as amended.

- HSPD 5, *Management of Domestic Incidents*, dated February 28, 2003.

- National Incident Management System, dated December 2008, as amended.

- HSPD 12, *Policy for a Common Identification Standard for Federal Employees and Contractors*, dated August 27, 2004.

- National Strategy for Pandemic Influenza, dated November 1, 2005.

- National Infrastructure Protection Plan, dated 2010, as amended.

- National Strategy for Pandemic Influenza Implementation Plan, dated May 2006.

- NIST Special Publication 800-53, *Recommended Security Controls for Federal Information Systems*, dated December 2006.

- National Exercise Program Implementation Plan, April 2007.

- NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2013 Edition, as amended.

- FEMA Continuity of Operations Plan Template.

- Comprehensive Preparedness Guide 101, *Producing Emergency Plans*, – Interim, FEMA, dated November 2010, as amended.

ANNEX L. 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
CRC   Continuity Readiness Cell
DHS   Department of Homeland Security
ERG   Emergency Relocation Group
DERG   Devolution Emergency Relocation Group
FCD   Federal Continuity Directive
FEMA   Federal Emergency Management Agency
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
NCP   National Continuity Programs
NCC   National Continuity Coordinator
NEF   National Essential Function
NSPD   National Security Presidential Directive
NTAS   National Terrorism Advisory System
OPM   Office of Personnel Management
PMEF   Primary Mission Essential Function
RRS   Readiness Reporting System
TT&E   Test, Training, and Exercise

This page is intentionally left blank.