

CALIFORNIA  
GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
Building Organizational Resiliency

## Continuity Planning Guidance

Preparing the State

# All Hazard Pocket Guide



The ultimate goal of continuity planning is to ensure the State of California is able to continue its vital government services and operation under all conditions.

 CONTINUITY OF OPERATIONS PREFACE

The changing nature of threats to security and sustainability, along with the potential for unforeseen emergencies, has increased the need to prepare for disruptions in business operations. Without efficient and functional vital services, the safety and welfare of the citizens of California are threatened and/or compromised. Measures must be developed to ensure the continuation of essential services during a crisis in order to protect the functional needs of our citizens and government.

While the outcome of any catastrophic event cannot be predicted, continuity planning enables government agencies and private organizations to coordinate and manage the various elements, components and resources of their Continuity of Operations (COOP) Programs. The success of these programs depend on the integration of local, state and federal response, mitigation and recovery plans.

Having a comprehensive COOP program provides agencies and organizations with the means to address the diverse issues involved in sustaining critical services under catastrophic conditions.

This guide provides direction in developing continuity plans and programs for all entities (local, state, federal, tribal government and private sector) by outlining; a) the required planning elements, b) incorporating all four operational planning phases, and c) explaining how the program management cycle allows you to maintain and improve procedures.

**National Continuity Policy** - On March 30, 2011, President Obama issued National Security Presidential Directive (PPD) 8. This directive is aimed at strengthening the security and resilience of the United States through an integrated, all-of-Nation, capabilities-based approach to preparedness. On May 9, 2007 President Bush issued the National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20 requiring all federal agencies/branches to incorporate COOP planning into their daily operations.

**Cal-Executive Order S-04-06** – On April 18, 2006 Governor Schwarzenegger directs Cal OES to provide guidelines to state and local agencies in order to assist them in ensuring the continuity of government and ensuring the provision of essential vital services to the public during and after a catastrophic event.

## HOW THIS GUIDE IS ORGANIZED



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## EXPLAINING CONTINUITY PLANNING

Continuity planning is a widely applicable planning strategy designed to keep essential business functions operational in the event of sudden and devastating emergencies. Incidents that could require the implementation of an organizations Continuity Plan include localized acts of nature, human caused accidents, technological emergencies or acts of terrorism.

Continuity plans enable government agencies, at all levels, and the private sector to identify and utilize necessary resources to preserve the provisions of vital services that support the continuation of essential business functions.



While the overarching objective of continuity planning is to ensure the continuous performance of essential business functions during an emergency. Continuity plans also enable organizations to:

- > Reduce loss of life and minimize damage and loss to critical processes, systems, equipment, essential information and staffing.
- > Provide for a succession of leadership to perform necessary duties when normal leadership is unavailable.
- > Reduce or prevent disruptions to operations.
- > Protect facilities, infrastructure, equipment, records and other necessary assets.
- > Return to normalcy - Recover from an emergency in a timely and orderly manner (resume full services).

Continuity planning is both good business practice and responsible and reliable administration. It enables organizations to reduce the consequences of disruptive events to manageable levels and continue to operate during vulnerable conditions.

 EXPLAINING CONTINUITY PLANNING CONTINUED

Continuity planning is a requirement for local, state, federal and tribal governments as well as the private sector. Organizations are encouraged to establish and maintain a viable continuity program that meet the general continuity planning directives and objectives. Continuity programs based on these directives and objectives, align and promote community resilience, interoperability and prevent redundancies and conflicting lines of authority.

The Federal Government relies on the support of non-federal entities to facilitate National Essential Functions (NEFs). Cal OES also relies on the support of local/tribal government, state and federal agencies, the public and private sector to facilitate State Essential Functions (SEFs).

Key to successful continuity planning is a collaborated and coordinated efforts of local, regional, state and federal entities by:

- > Integrating all plans appropriately with local/regional/state/federal emergency plans and tiered response capabilities.
- > Including the private sector which provides 85% of our critical infrastructure, support and vital services.
- > Promoting shared information, interoperability and to prevent redundancies and conflicting lines of authority.
- > Coordinating continuity resources and facilities, security measures, relocation activities, communication systems, infrastructure and other interdependencies.
- > Developing and participating in Multi-Year Training and Exercise Program to ensure personnel and plans are kept current, frequently exercised, and identify best practices and lessons learned.
- > Conducting alerts, notifications, evacuations and relocation activities to alternate facilities to identify risk/hazards and critical resource requirements that could affect the re-establishment of essential functions.

**Note:** Continuity planning for the private sector is usually referred to as Business Continuity Planning (BCP). Reference: NFPA 1600

## VIALE CONTINUITY CAPABILITY

Continuity capability is the ability of an organization to continue performing essential business functions throughout all-hazards emergencies, utilizing continuity of operations procedures and integrated services, to preserve the safety and security of the State and Federal Government along with its citizens, properties and interests.

The foundation for conducting continuity of operations rest on key component that structure and guide continuity efforts, comprising:

- > Plans and procedures to help guide leadership and personnel during a crisis.
- > Risk management initiatives to identify, control and minimize the impact to the organization and community.
- > Adequate budgeting and resource allocation to support continuity efforts.
- > Concept of Operations (CONOPS) that go through all four operational phases to help guide implementation.
- > All-hazard approach that plans for the full spectrum of threats/hazard.

Facilitating continuity capabilities relies on the accessibility, coordination and management of available resources (or pillars), comprising:

- > **Leadership** - Senior leadership support and involvement.
- > **Staff** - Human Resource or staffing that drives and implements the program.
- > **Communications** - Building in redundancy of critical Information Technology (IT) and communications systems.
- > **Facilities** - To provide a working environment in which to re-establish essential business functions for any disruption.

Combined, these components and resources determine the viability of an organization's continuity capability.

## CONTINUITY FOUNDATION

### PLANS AND PROCEDURES

The viability of continuity programs relies on having detailed and well-researched continuity plans supported by tested and verified procedures to activate and implement the plan.

- > Plans organize, coordinate and guide continuity efforts, charting how and when to perform activities.
- > Procedures provide the instructions in which to execute the plan.

For continuity programs to be effective, continuity plans:

- > Must be maintained at a high level of readiness.
- > Must be capable of being implemented both with and without warning.
- > Must be operational no later than 12 hours after activation.
- > Must be able to sustain operations for up to 30 days, or until normal functions can be resumed; and
- > Should take maximum advantage of existing infrastructures by collaborating with other organizations/agencies to share or access services, resources, equipment and systems.

Continuity plans should not be approached in isolation. The effectiveness of a continuity plan is often dependent on execution of another organization's continuity plan. Many organizations rely on the availability of resources or services delivered by another organization. Continuity plans should develop procedures around such interdependencies.



For further information on developing plans and procedures, flip to "Phase I: Readiness."

## RISK MANAGEMENT

**R**isk management is the process of identifying and assessing the impact of risk of hazards or threats on operations, and establishing strategies to control, or at least minimize, the effect of disasters so that essential functions can continue to operate.

The risk management program should be continuously reviewed and updated to ensure risks to essential functions are mitigated.

A risk management cycle provides a format for optimizing the readiness of an organization to respond to all-hazards events and continue essential business functions.

Understanding the risk to something from something and deciding the best Course of Action (COA). First you must define the context of the specific threat impact assessment to use (see page 11 for example).

### RISK MANAGEMENT CYCLE

- Identify Specific Risks
- Review Assessment
- Analyze Information
- Develop Plan of Action
- Continue to Monitor
- Annually Review/Update



The recommended risk management cycle involves 5 phases for the development of strategies that minimize the impact of risk.

**RISK MANAGEMENT PHASES****Phase 1: Strategic goals, objectives and constraints**

The scope and structure of the risk decision-making process is defined. In particular, determining how resources should be distributed and allocated across human capital, communications and facilities; identifying who should be involved in the decision-making process; and identifying factors that could influence the decision, such as costs, timelines and risks.

**Phase 2: Risk assessment**

The hazards and threats facing the organization are identified and evaluated in order to understand what could go wrong and what would the effect of the impact be on operations. For more information on conducting risk assessments, flip to “Risk Analysis”.

**Phase 3: Alternative evaluation**

If the risk is controllable, then it could be considered at an acceptable level. Where risk is uncontrollable and the level considered unacceptable, actions should be taken to minimize or prevent the risk. Mitigating actions involve developing alternate risk management strategies to determine how the risks can be managed most effectively, and assessing the impact of the risk on proposed strategies.

**Phase 4: Management selection**

The effectiveness, efficiency and cost-effectiveness of alternative risk management strategies are evaluated to identify and select strategies that indicate the ability to reduce the risk of threats or hazards. Selection must also be based on the confidence of strategies to be effective.

**Phase 5: Implementation and monitoring**

Selected alternative risk management strategies are implemented and evaluated against metrics to measure their capability. Strategies are monitored after implementation to verify that they are performing as expected and the risk management decision were appropriate.

## CONDUCTING A RISK ANALYSIS



**A** risk analysis helps to determine an organization's susceptibility to hazards. It is the process of collecting and evaluating information on hazards and threats that could cause devastating harm to an organization if they are not effectively controlled.

### Risks could be:

- > **Natural hazards:** Hurricanes, earthquakes, floods, snowstorms, etc.
- > **Human-caused accidents:** The consequence of negligence and human error in managing and operating infrastructures, such as electrical power failures, transportation failures, communications systems failures.
- > **Technological-related incidents:** The accidental or deliberate release of hazardous materials or nuclear power plant failure.
- > **Terrorist threats:** Deliberate acts by individuals or groups to cause harm, such as workplace violence, bomb threats, suspicious packages, etc.

### Risk analyses involve:

- > **Identifying the range of potential hazards and threats.** Ask: "What can go wrong?"
- > **Assessing their potential impact on operations,** in particular, essential functions. Ask: "What would be the impact if a hazard occurred?"
- > **Assessing the likelihood of each threat occurring.** Ask: "What is the likelihood of identified hazards occurring?"



## CONDUCTING A RISK ANALYSIS CONTINUED

In a risk analysis, the source or cause of threats and hazards is identified to recognize existing vulnerabilities in operations. The extent of the impact of identified hazards/threats is then measured and evaluated to determine the effect on operations. The probability of those threat/hazards actually occurring is evaluated to determine which hazards/threats to prioritize in continuity planning.

**Steps involved in a risk analysis include:**

1. Creating an inventory of essential functions.
2. Identifying the hazards that could affect each essential function.
3. Developing continuity hazard scenarios to assess the likelihood of threats occurring, and should they occur, the consequences of the impact. Scenarios also provide opportunities to identify and develop safeguards and countermeasures to risks.

When evaluating consequences of hazards, both short and long-term impacts for disasters, accidents and intentional attacks should be considered.

Different tools can be used to assess a scenario's level of risk, depending on the nature of the scenario. For instance, historical accident reports could provide useful information on accessing the risk of accidents, while academic/scholastic reports could provide data for assessing the risk of natural hazards, in the absence of prior hazard reporting, expert knowledge on the subject matter should be used.



## RISK ASSESSMENT

### SPECIFIC THREAT IMPACT ASSESSMENT

Continuity planning risk assessment determines the impact of the potential threats on the organization's ability to perform its essential business functions. This process goes through four steps to identify those threats planners need to focus on when writing contingency procedures.

**Step 1:** List all of the threats that may potentially have an impact on the organization's ability to deliver its essential functions in Column 1.

**Step 2:** Determine the severity of the impact if the event listed in Column 1 occurred. Assign a numerical value to the severity of the impact in Column 2 using the following schema:

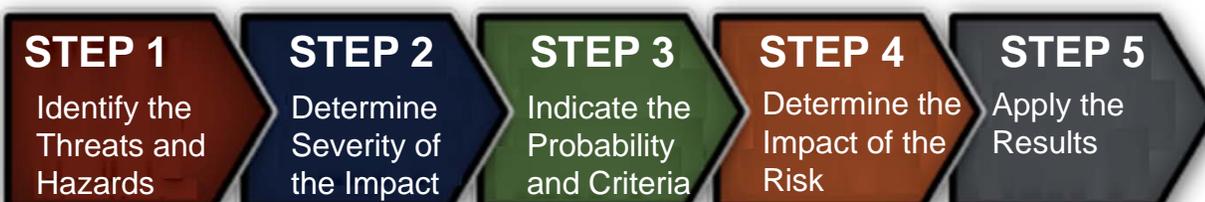
- Catastrophic Event = 4
- Major Event = 3
- Moderate Event = 2
- Minor Event = 1

**Step 3:** Indicate the probability that the event identified in Column 1 will occur in Column 3. Assign a numerical value based on the following criteria:

- Frequent = 4
- Occasional = 3
- Uncommon = 2
- Remote = 1

**Step 4:** Determine the impact of the risk by multiplying the severity by the probability. Risks with a score of 6 or higher are considered to cause a significant disruption to operations.

**Step 5:** Apply the results



**RISK ASSESSMENT**

<b>Risk / Threat / Vulnerability Assessment</b>			
<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>	<b>Column 4</b>
<b>Event/Threat</b>	<b>Severity</b>	<b>Probability</b>	<b>Score</b>
<b>Natural</b>			
Avalanche/Rock Slide/Sink Hole			
Earthquake (Mag. 5.0 +)			
Extreme Cold/Freeze/Snow Storm			
Fire: Structural/Urban Interface			
Flooding/ARkStorm			
Landslide/Mud Slide			
Severe Winds/Gails/Super Cells			
Solar Flare/Comm.'s Disruption			
Tsunamis/Sieche Wave/Tidal Surge			
Volcanic Eruption (Ash/Mud Flow)			
<b>Technological</b>			
Building Structure Collapse			
Chemical Release/Threat			
Computer/IT Failure			
Dam/Leeve Failure			
Extreme Air Pollution (Ash, Smoke, etc)			
Fire/Explosion			
Fuel Shortage/Contamination			
HazMAT Accident: Transport/Storage			
Natural Gas Leak/Shortage			
Nuclear Hazard Release			
Pipeline Break/Damage			
Power Outage/Blackout			
Power/Utility Failure			
Radioactive Accident			
Transportation Accident: Road, Rail, Marine, Air			
<b>Human-induced Hazards</b>			
Arson/Sabotage			
Biological Release/Threat			
Chemical Release/Threat			
Economic/Financial Emergency			
Hostage Incident			
Active Shooter			
Large-Scale Labor Strike			
Nuclear Release/Threat			
Civil Unrest/Demonstration/Riot			
Public Health Emergency (Panflu,RSV, etc.) *			
Special Events (State/Federal Significance)			
<b>Terrorist Act</b>			
Biological Threat/Act			
Chemical Threat/Act			
Cyber Threat/DOS/Systems Failure			
Explosive/Bomb Threat/Suspicious Package			
Nuclear/Radiological Threat/Act			

## BUDGET AND ACQUISITION OF RESOURCES



The continuous performance of essential functions must be guaranteed with the right people and right resources.

To support and maintain effective continuity programs, the requisite resources – personnel, communications, facilities, equipment, infrastructure, and transportations – must be acquired and set in place. Funding must be budgeted and allocated for the purchase or acquisition of these resources to ensure they are available and adequately prepared to facilitate continuity operations.



Organizations should identify and provide continuity funding for all levels of their organizations, including regional – and field-level offices.

When developing continuity budgets or making acquisition decisions, organizations should consider the costs related to:

- > The provision of time for the continuity planning team to develop plans and procedures.
- > The development and maintenance of continuity plans and procedures.
- > Identifying and assessing hazards and threats, conducting risk analyses, and developing risk mitigation actions.
- > Locating and acquiring continuity facilities (purchase, lease or sharing premises).
- > Establishing Memorandums of Agreement (MOA) or Memorandums of Understanding (MOU) if sharing continuity locations with other organizations.
- > Locating and acquiring equipment, services and technology to support continuity communications.
- > Developing and conducting training, testing and exercise (TT&E) activities.
- > The provision of security systems and services, and emergency transportation.

## CONTINUITY PILLARS OF SUCCESS

As decisions about acceptable and unacceptable levels of risk often drive the distribution of funds, in allocating resources to reduce risks, organizations should consider:

- > Using a risk management process to identify, prioritize and justify the allocation of funds and resources;
- > Integrating budgets with the multi-year strategy and program management plan (MYPMP), and linking budgets directly to the plan's objectives and metrics; and
- > Acquiring continuity resources on an emergency basis.

Effective budgeting can help organizations provide critical continuity resources necessary to continue performing essential functions before, during and after a continuity event.

## CONTINUITY PILLARS OF SUCCESS



## CONTINUITY PILLARS CONTINUED

### HUMAN CAPITAL

**D**eveloping, activating and facilitating continuity programs rests on the management of human capital. In a continuity context, human capital is the sum of energy, knowledge and skills invested in efforts to prepare for, respond to and recover from emergencies.

During all-hazards events, it is crucial to have available the most appropriate, qualified and reliable people in continuity positions that best match their aptitude and skills.

- > **Leaders** should be pre-selected based on their ability to set priorities, make difficult decisions and remain focused under extreme pressure.
- > **Continuity personnel and emergency personnel** should be provided with regular training to develop the skills and knowledge necessary to perform their designated roles and responsibilities.

For more information on human capital, flip to “Plan Elements 6-10.”

### CONTINUITY COMMUNICATIONS

**F**acilitating and implementing continuity operations relies on the availability and serviceability of communications and information technology (IT). Continuity personnel and leaders must be able to send and receive information among each other, and sustain communication between the organization and external organizations, clients and the public.

To ensure continuity of communication, organizations should have access to and be able to operate and maintain communication equipment and systems at both their primary site and alternate continuity locations. Communication equipment and systems need to be capable of operating under all-hazards conditions that involve power or other infrastructure disruptions.

For more information on continuity communications, flip to Phase I: Plan Elements 1-5.”

## CONTINUITY PILLARS CONTINUED

## CONTINUITY FACILITIES

All organizations need to have provisions for replacing to alternate continuity facilities in the event the primary site is severely damaged and inoperable. Continuity facilities provide alternate locations and resources for reestablishing and continuing operations.

Establishing alternate continuity facilities could involve the relocation of operations to a separate external site, revising how an existing site is used, or utilizing virtual office resources such as telework.

*Telework* is alternative work arrangements (telecommuting, flexiwork or flexiplace) that enables personnel to conduct their work at an alternative site such as an employee's residence, an office or satellite office, or an established telework center.

## Continuity facility options

Several alternate facilities can be chosen and operations spread out over multiple sites. Depending on the organization's circumstances, continuity facilities could use:

**Existing space** – for instance, remote or offsite training facilities, or jurisdictional or field offices.

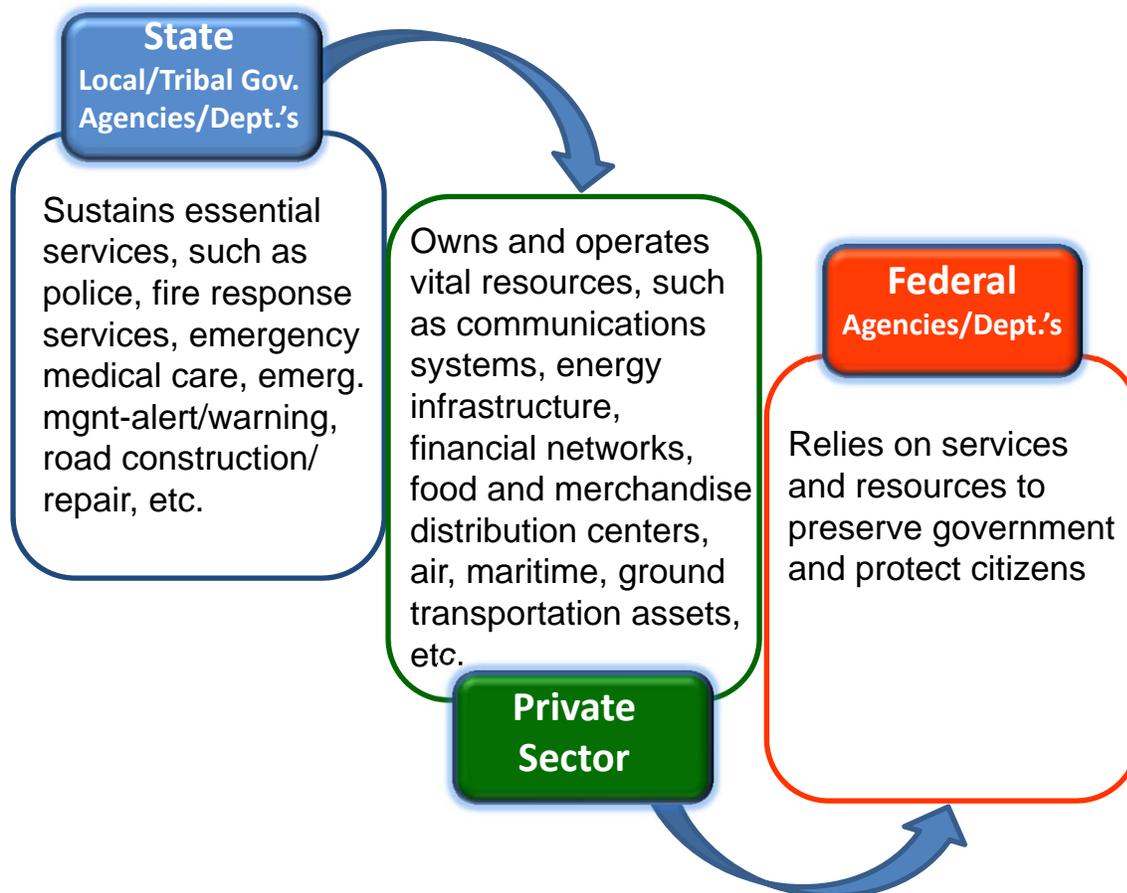
**Virtual offices** – for instance, working at home or teleworks, telecommuting facilities, or mobile offices.

**Co-location of a site** – for instance, space in an another organizations training facility, space procured and maintained by another organization, space in a site jointly acquired with another organization, or space in a combination of facilities.



## ROLES AND RESPONSIBILITIES

Responsibility for preparing for and responding to emergencies is shared by the State/Federal government, territorial and tribal governments, as well as the private sector. In California, State and Local government agencies play an integral role in determining and supporting the needs of the general public and ensuring the continuation of essential services on a daily basis. The State is responsible for taking a leadership role to ensure the coordination between all entities in developing effective continuity plans for catastrophic disasters.



All entities, therefore, have important and interdependent roles in preparing for, responding to, and recovering from incidents or disasters.

To effectively develop and implement integrated continuity programs, personnel in various roles covering a range of responsibilities are required to coordinate their efforts. This coordination enables the resources necessary to develop continuity plans and acquire crucial emergency response equipment to be identified, collected and allocated as appropriate.

The scope of responsibilities relating to the designated roles of personnel responsible for facilitating continuity programs is listed below.

**ROLES AND RESPONSIBILITIES CONTINUED****ELECTED OFFICIALS**

**E**lected officials are responsible for ensuring continuity programs are sufficiently resourced and ensuring continuity leaders and managers are appointed or hired to direct continuity efforts. To ensure integrated continuity programs are developed, elected officials should find a continuity planning team that includes all departments and divisions within the organization.

**SENIOR LEADERS**

**S**enior leadership is directly responsible and accountable for the development and management of continuity programs. Specifically, they are responsible for designating a continuity manager and coordinator, and monitoring and supporting their work. They are also responsible for approving continuity plans and procedures and corresponding budgetary requirements, and notifying the various areas of the organization when to activate the continuity plan.

While senior leaders delegate much of their authority, they retain overall responsibility and accountability for the quality of the continuity program.

**CONTINUITY MANAGERS**

**C**ontinuity managers are responsible for coordinating the activities and efforts of the continuity planning team. The continuity manager is also required to report annually on the planning activities to the elected official and department/division heads.

A key role of continuity managers is liaising between the planning team and senior leaders: to report on the planning team's progress to senior leaders; and advise senior leaders of any issues identified by the planning team.



## ROLES AND RESPONSIBILITIES CONTINUED



### CONTINUITY COORDINATORS

Continuity coordinators are responsible for creating and leading the continuity planning as well as maintaining the plan. This involves establishing the multi-year strategy and program management plan (MYSPMP), which keeps the continuity plan focused and relevant.

Continuity coordinators also coordinate and administer pragmatic elements of the plan, such as directing the program's budget and applying for funding.

### CONTINUITY PLANNING TEAM

The continuity planning team guides, coordinates and supports continuity planning and duties for the entire organization. The team gathers and assesses information on continuity resources and internal capabilities, along with capabilities to integrate with external organizations to deliver essential functions. Part of assessing the limits and potential of the organization's continuity capability is for the team to coordinate continuity exercises and evaluate the results.

Effective teams require a good mix of personnel, and include members from all levels of management and staff. Teams should also consist of members from various parts of the organization.

### CONTINUITY PERSONNEL

Individual continuity personnel are responsible for understanding and performing their particular continuity roles and responsibilities in emergency situations. This includes ensuring their own personal and professional needs are prepared for, along with those of their family's.

ROLES AND RESPONSIBILITIES CONTINUED

EMERGENCY RELOCATION GROUP

Members of the emergency relocation group (ERG) are pre-designated personnel who relocated to an alternate facility to continue performing essential functions when normal work premises become threatened or damaged by an incident. The ERG is composed of an advance team plus emergency personnel.

The ERG is responsible for the timely and orderly relocation and establishment of equipment, systems, resources and continuity personnel at a continuity site. In preparation,

ERG members attend continuity training, tests and exercises to attune their skills and knowledge for their responsibilities, as well As prepare office “drive-away Kits,” which contain items Needed to meet an individual’s Personal and professional needs during relocation. They

Also ensure that family support is available to family members of continuity personnel.



INDIVIDUALS

The fundamental foundation of continuity is personal responsibility and readiness. Individuals must understand their roles and responsibilities within their respective organizations and be committed to their duties in a continuity environment. Individuals need to understand and be willing to perform in these situations to ensure an organization can continue its essential functions.

## CONTINUITY OPERATIONAL PHASES



Continuity operations promptly after an emergency or incident requires organizations to be prepared and organized. Organizations can prepare their response to emergency situations by developing and maintaining a continuity program that identifies, guides, coordinates and allocates the people, communications, facilities, infrastructure, transportation and funding needed to support continuity operations.

Although each organization will coordinate and manage its continuity program differently, dependent on its own unique circumstances, the continuity operational and implementation process will cover the following four phases:

1. Readiness and preparedness
2. Activation and relocation
3. Continuity operations
4. Reconstitution and Recovery



### Phase I

Readiness and Preparedness

- Plan Development
- Review
- Training
- Testing
- Improving
- Updating

### Phase II

Alert, notification and relocation implement administrative and emergency procedures

Attaining operational capability at the continuity site(s) with minimal disruption to operations within 6 -12 hours of plan

### Phase III

Continuity of Operations - Re-establish and sustain essential business functions

### Phase IV

Reconstitution and Recovery Returning to normal operations

← PHASE I: READINESS AND PREPAREDNESS

**R**eadiness is the ability of organizations to respond to a disruptive incident or event with little or no warning. To be prepared, implemented, provides for the continued performance of essential functions under all circumstances, and integrates with governments and the private sector, when appropriate.

Within the continuity program, continuity plans and procedures provide the necessary instructions and guidance on what actions to take to respond to a crisis. The continuity plan is a roadmap for implementing and managing the continuity program.

Continuity plans and procedures are developed from the analysis and assessment of organization-specific continuity elements. Basing continuity plans and procedures on a review of these elements ensures an organization's response is tailored to the unique requirements of their essential functions.

● Essential elements of a continuity program:



## DEVELOPING A CONTINUITY PROGRAM



The process involved in creating a continuity program entails several stages:

Initiation of a continuity program

Determining essential functions

Conducting a risk analysis

Developing a continuity plan and procedures

Reinforcing capabilities through training, testing and exercise programs

### INITIATION OF A CONTINUITY PROGRAM

Continuity programs are formed through the collaborative activities of continuity staff. To begin planning a continuity response and procedures, respective continuity roles must be assigned to personnel showing due aptitude and who have the right scope of authority. The responsibilities attached to each role must be explained.

#### Continuity Leaders

Continuity Managers should be appointed first, followed by a Continuity Coordinator. Although heads of agencies/organizations may act in these roles, it is best to designate another qualified individual to avoid a conflict of competing responsibilities.

#### Continuity Team Members

Members for the Continuity Planning Team would be selected next. The team should consist of a wide range of personnel from various sections of the organization. The number of team members will reflect the size of the organization, but ideally a team will have between 8-10 personnel. This size allows for diversity of input, without being too large to achieve consensus.



## DETERMINING ESSENTIAL FUNCTIONS

While many functions are important in day-to-day operations, not every activity is essential to continue in emergency situations. Essential functions are the critical activities that enable an organization to provide vital services to maintain the safety of its employees and the public, and preserve its financial and industrial.

**In identifying essential functions, organizations should:**

### 1. Identify all functions.

Organizations should conduct a Business Process Analysis (BPA) to map and analyze all the processes and functions involved in performing operations.

### 2. Determine which functions to continue under all circumstances.

From the complete list of operational functions, organizations should conduct a Business Impact Analysis (BIA) to distinguish between essential functions and non-essential functions. BIAs measure the potential consequence of interruptions to or loss of business functions.

A BIA will identify those functions crucial to performing the organization's core mission and evaluate the financial, physical and emotional impact of the loss of these functions to the organization and its personnel. In conducting a Risk Analysis (RA) along with the BIA, Organizations can measure their Susceptibility to the impact of each hazard and determine the potential impact of each threat.



### 3. Distinguish between NEFs, SEFs, and MEFs.

The primary goal of federal agencies is to continue National Essential Functions (NEFs), whereas the State of California focuses efforts on continuing State Essential Functions (SEFs). With the interdependency of local/trial governments, state agencies and private business, their focused efforts is on continuing their primary Mission Essential Functions (MEFs).

MEFs should be selected with the consideration of providing support to SEFs and NEFs.

# NATIONAL ESSENTIAL FUNCTIONS (NEFs)



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



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

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





## STATE ESSENTIAL FUNCTIONS (SEFs)

- 1. Government Leadership** – Provides visible and effective leadership for the people of California while restoring and maintaining critical state essential functions.
- 2. Public Safety** – Maintains public safety and security for the people of California and decreases their vulnerability to threats and hazards.
- 3. Emergency Management** – Protects and preserves the lives, property and environment for the people of California from the effects of natural, technological or human-caused disasters.
- 4. Medical/Health** – Ensures the continuity and strength of California’s medical, public health, mental health organizations and systems. Supports the health and well-being of the people of California.
- 5. Social Services and Education** – Ensures the continuation of essential social services for people of California, including services for vulnerable populations, victims of crime and functional needs populations. Supports the continued operation of California’s educational systems (both public and private) at all levels of government.
- 6. Critical Infrastructure** – Preserves California’s infrastructure, including its transportation systems, energy systems, utilities, dams and other critical components. Supports and sustains the personnel required to operate and maintain the physical infrastructure.
- 7. Financial, Economic and Business** – Ensures the financial and economic security of California’s business, financial systems/institutions and its citizens. Preserves and supports California’s labor/workforce. Protects and preserves California’s tax and revenue collection capabilities to ensure continuity of California’s government.
- 8. Information Technology/Communications** – Protects, maintains and preserves California’s communications and technological capabilities. Ensures continued interoperability of California’s communications systems.
- 9. Agriculture** – Promotes and preserves the livelihood of California’s agricultural community and all its members. Ensures continuation of existing agriculture training and education programs. Ensures that California’s agriculture remains strong and competitive.
- 10. Environment** – Protects, preserves and restores California’s natural environment, ecosystems, resources and natural habitats and the impacts of natural disasters or other events.
- 11. Information Collaboration** – Encourages and enhances information sharing and collaboration between Local/State/ Federal and Private Sectors to more effectively respond and recover from all threats and protect the citizens of California.



## ESSENTIAL FUNCTIONS CONTINUED



### Identifying MEFs

To identify MEFs, FEMA's Continuity Guidance Circular 2 (CGC 2) provides guidance and methodology to assist in the development of mission essential functions.

### MEF initial screening aid

To assist in separating general functions or supporting activities from mission essential functions, consider:

Is the function directed by law, statute, presidential directive or executive order?	Yes	No
Should the function be performed under all circumstances, either uninterrupted, with minimal interruption or requiring immediate facilitation in an emergency, according to the results of a BPA?	Yes	No
Does the function directly support SEFs? If yes, identify which: 1 2 3 4 5 6 7 8 9 10 11	Yes	No
Does the function directly support NEFs? If yes, identify which: 1 2 3 4 5 6 7 8	Yes	No
Does the function need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance?	Yes	No

**Note:** If the function results in the delivery of service to the public or another agency, it probably is a mission of the organization. If the function results in a service being delivered to another part of the organization, it is a supporting activity.

**Essential Versus Non-Essential:** The distinction between these two categories is whether or not a function must be performed during a crisis. Functions that can be deferred until after the emergency should be identified as non-essential.

← **ESSENTIAL FUNCTIONS CONTINUED**

**4. Prioritize MEFs and SEFs.**

To strengthen catastrophic planning capabilities, *Cal OES looks at both SEFs and MEFs* to continue critical services and resources to the citizens of California without interruption.

SEF/MEFs establish planning parameters that enables organizations to continue vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency. The SEF/MEFs are discussed (prioritized) in the Objectives Meeting to provide focus on minimizing the impact of disruption and return to normal operation as quick as possible.

**Essential functions are prioritized according to:**

- > The time critical of each essential function; and
- > The recovery sequence of essential functions and their critical processes.

The timeframe in which an essential function must be resumed is determined by the amount of time that function can be suspended before it adversely affects the organizations mission. How critical it is to resume a function is relative to the importance of the function in continuing operations as well as to the urgency of delivering that function.



**Recovery Time Objective (RTO)** - Time criticality is measured by the period of time within which systems, processes, services, or functions must be recovered after an outage – that is, its RTO. The shorter the RTO, the higher the priority is to resume the function.

Deciding the order in which functions should be recovered also involves considering their related critical processes and services. Critical processes or services are those that must be resumed generally within 24hours after a disruption.

Once the required recovery time has been established for each essential function, they should be listed in ascending order, with the shorter RTO first. Those functions upon which others depend should also receive a high priority in the sequence of recovery.

**Recovery Point Objective (RPO)** – The point in time to which data must be restored in order to resume processing transactions. In IT context, the amount of data that can be lost measured by a time index. This process must be integrated into your disaster recovery planning.



### 5. Establish staffing and resource requirements.

To determine what resources and staffing requirements are needed to sustain essential functions, and the necessary quantity of equipment and personnel, organizations should refer to the results of the BPA and use this information to examine the processes and services that support essential functions.

For each essential function, list: the activities/tasks involved in performing the operation; the personnel designated to perform the function; and their corresponding resources.

When noting resource requirements, consider, in all categories, dependencies such as vendor agreements or relationships; software and supplies/equipment issues; workstation needs; vital records and documents required; and communication with organizational personnel and system customers.



## DEVELOPING PLANS AND PROCEDURES

Continuity plans and procedures provide direction on how to respond in an emergency situation to continue facilitating essential functions, minimize damage to critical processes and information, and reduce disruption to services.

Organizations should develop and maintain continuity plans and procedures that facilitate the continued performance of essential functions under all circumstances.

In preparing and developing continuity plans and procedures, the continuity planning team should address the key continuity elements as they relate to the organization's circumstances to establish an all-hazards response capability.

### Key continuity elements

**Continuity plans, at a minimum, must:**

1. Describe prioritized mission essential functions.
2. Specify orders of succession.
3. Specify emergency delegations of authority.
4. Identify continuity facilities and locations.
5. Provide for continuity communications systems.
6. Identify and provide for safekeeping of essential/vital records.
7. Provide for human capital planning.
8. Specify devolution of control and direction.
9. Provide for reconstitution.
10. Provide for training, tests and exercises.



## TEN CONTINUITY PLAN ELEMENTS



### 1. Describe prioritized mission essential functions.

Having identified and prioritized essential functions, using BPA, BIA and RA, and distinguished between MEFs and PMEFs, the continuity planning team should establish processes and develop procedures to guide personnel in delivering essential functions in an emergency.

Procedures should explain how the organization will continue to perform essential functions within 12 hours of an emergency, and for a duration of 30 days or until normal operations can be safely resumed.

Continuity plans and procedures need to explain how each critical function will be performed in a continuity event.

In developing procedures to support the continuity plan, the planning team, for each essential function, must:

- > Map the activities and tasks comprised in a function.
- > Identify staffing requirements and assign personnel.
- > Identify resource requirements and procure necessary items, equipment and services.
- > Identify supporting critical processes, systems and services and make provision for them.



## 2. Specify orders of succession.

For leadership to remain effective in continuing operations, each key position in a continuity plan must be included in the order or succession to ensure leadership is transferred when appropriate.

To establish orders of succession, organizations should identify all the key positions responsible for and authorized to facilitate essential functions in an emergency, and then identify suitable substitute personnel who are competent and willing to assume a key position should one become vacant.

Charting the organization's structure by function and listing key positions that facilitate each function is effective in identifying key operational roles.

Once key positions and personnel have been identified, determine which position would assume authority of which key position if it became vacant unexpectedly. Although the same successor may be named for different key positions, designating the same successor as the "first" successor to several key positions should be avoided.

When identifying and selecting successors, consider the candidate's qualifications to perform in a key position as well as their disposition and aptitude for handling the role; for example, are they able to work under pressure. All lines of succession should be at least three positions deep.

The geographical location and proximity of successor positions should also be considered when assigning order of succession. Leadership should be transferred to successors in locations sufficiently distanced from an emergency-affected facility to ensure the successor will be available.



## TEN CONTINUITY PLAN ELEMENTS CONTINUED

### Orders of succession should:

- Establish a line of succession for the highest position of authority, with a designated official available to act as head until properly appointed.
- Establish lines of succession for other key leadership positions, including administrators, key manager, etc.
- Engage successors who are geographically dispersed to optimize the probability of a successor being available to assume the predecessor's role.
- Be described by position or title and not by the names of individuals (different individuals may move through a single position, but positions tend to stay the same.)
- Use rules and procedures to guide the succession of leadership. Include the conditions under which succession will take place, method of notification, any limitations of authority, and the conditions under which authority will be returned.
- Be included with the vital records and be accessible at continuity sites.
- Be distributed promptly when changes occur.
- Ensure that successors of leadership are properly informed and trained.
- Establish rosters of trained personnel with the authority to perform essential functions and activities.



**TEN CONTINUITY PLAN ELEMENTS CONTINUED**

**3. Specify emergency delegations of authority.**

Authority to make decisions and activate continuity activities should be delegated to emergency leadership and administrative leadership.

Emergency Authority	Administrative Authority
<p>The ability to make decisions related to an emergency, such as deciding whether to activate a continuity plan, or deciding whether to evacuate a building.</p>	<p>The ability to make decisions affecting operations beyond the duration of the emergency, and as such, does not have a built-in expiration date. Administrative authority involves following policies, such as hiring and dismissing staff, and allocating fiscal and non-monetary resources.</p>

It may be necessary to consult with legal counsel which determining delegation of administrative authority, as statutory or constitutional law may limit the scope of this kind of authority.

**Personnel delegated authority must be advise of:**

- > The conditions or events that will trigger delegation of authority.
- > The limitations of their authority.
- > How they will assume authority.
- > How long they will retain authority.
- > How staff will be notified of the delegation.

## TEN CONTINUITY PLAN ELEMENTS CONTINUED



### Delegations of authority should:

- Plan the legal authority for officials to make key policy decisions, and document outcomes.
- Describe delegations of authority by positions or titles and not by the names of individuals.
- Define the limits of authority and accountability for specific roles.
- Be tied to the level of threat or category of emergency.
- Outline the authority of an official to exercise direction and re-delegate functions and activities.
- Define the circumstances under which delegation of authority would take effect and would be terminated.
- Ensure records of delegation of authority are included in the vital records and are accessible at continuity sites.
- Ensure that officials selected to assume authority in continuity situations are properly informed and trained.



**4. Identify continuity facilities and locations.**

When a primary work site is damaged or becomes inaccessible, organization must be prepared to relocate operations to alternate facilities that can support continuity operations.

Alternate facilities should be selected on the basis of their capacity to meet the organization’s geographical, fiscal, operational and practical needs. In selecting continuity facilities, the following criteria should be considered:

**Location of facility**

- > Continuity facilities should be located in an area that will minimize disruptions. Conduct an all-hazards risk assessment to assess the effect of hazards on the facility.
- > Sites should be located sufficiently distanced from the organization’s primary facility and form areas prone to threats or disruptions.
- > Sites should be selected that have access to essential support services and resources, such as food, water, fuel, medical aid, transportation, etc.

**Negotiation of co-location**

Where space is shared or co-owned/leased with another organization, MOAs or MOUs should be pared that specify:

- > How much notice must be given to the owner/occupant before occupancy;
- > How much space and what services will be provided; and
- > The sole use of the allocated space for the set period of occupancy.

**Space**

- > The amount of space required to support the operational needs of continuity personnel should be pre-determined, and the site selected based on these requirements.

**Site transportation**

- > Consideration should be given to the accessibility of transpiration to and from the site, and on the site.

## TEN CONTINUITY PLAN ELEMENTS CONTINUED



### Billeting

- > The location must consider housing requirement to support continuity personnel at or near continuity site (as required).

### Preparation

How well prepared and maintained a continuity facility is could affect how quickly and efficiently essential functions are resumed in an emergency situation. A continuity facility may be one of the following types:

- > **Hot site** – a facility that is well resourced and serviced, and ready to commence COOP (turn key facilities accessible 24/7).
- > **Warm site** – a facility that is partially resourced and serviced, and requires more provisions before COOP can be implemented. (requires 4-6hrs for set-up).
- > **Cold site** – a facility that provides just the basic operational needs; space, power, internet access, conference capability, etc.(requires 6-12hrs for set-up).

### Communications

- > There needs to be access to adequate and efficient communication resources within the continuity facility.

### Security

- > Continuity facilities should have suitable levels of physical and information security to protect against threats – as identified in the risk assessment.
- > Technologies that control site access and conduct site surveillance should also be considered.

### Life support

- > There should be access to and sufficient quantities of life support items, such as food, water, sanitation, hygiene, power, etc. available at the continuity site to protect the health and wellbeing of emergency personnel.
- > If supplies are not maintained on site, there should be provisions made for bringing them to the facility.

Once selected, procedures for bringing on alternate site into use must be established and included with vital records.

## ← TEN CONTINUITY PLAN ELEMENTS CONTINUED

**5. Provide for continuity communications systems.**

Organizations depend on the availability of reliable and efficient communication and IT systems to continue essential functions. Continuity of communication enables internal personnel to stay connected and for personnel to connect with external organizations to collaborate on delivering services to sustain essential functions.

Preventive controls should be introduced to minimize the risk of disruption to communication systems. Examples of preventive controls could include uninterruptible power supplies, water sensors in the ceiling and floor, fire and smoke detectors, etc.

When preventative controls fail, alternate providers and/or modes of communication should be available to replace non-functioning primary communication systems. Examples could include using cellular phones, radios, and satellite phones.

Compatibility of communication systems and equipment should be considered when establishing interoperable communication systems. Communication systems and equipment must be able to work with other systems and equipment to enable continuity personnel to communicate with each other and with external personnel.



## TEN CONTINUITY PLAN ELEMENTS CONTINUED



To implement and sustain continuity of communications organizations should:

- ✓ Identify the organization's requirements to continue communications internally and externally.
- ✓ Identify and ensure availability of interoperable communication equipment and resources – in sufficient quantities and media – at primary site and other continuity sites.
- ✓ Possess communication equipment and resources to support communication among senior leadership while in transit to continuity sites.
- ✓ Possess communication equipment and resources to support communication in social distancing operations – such as in the event of a pandemic.
- ✓ Ensure procedures/plans exist that explain how the organization should communicating internally and externally.
- ✓ Consider having a media relations representative or a designated contact person for the media to speak with regarding the organization's response to crises.
- ✓ Establish methods of communicating with clients/customers during a disaster. People who depend on the organization's services will need information on how services will be affected.
- ✓ Ensure procedures/plans exist to access vital records, data and other systems.
- ✓ Ensure relevant emergency personnel are trained in the sue of communication systems and equipment.



**6. Identify and provide for safekeeping of essential records.**

**Essential Records** are defined as those records or documents, for legal, regulatory, or operational reasons, which cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct day to day operations. Vital records information items are considered to be vital to the operation of the organization's essential functions and critical to management decision-making.

**Essential records categories include:**

- > **Emergency operating records**—Examples include emergency plans, procedures, directives, emergency contact information, lines of succession, staffing assignments.
- > **Rights and interests records**—Examples include official personnel records, Social Security records, property titles/deeds, contracting and acquisition files, etc.

**Essential record types include:**

- > **Static records** – Records that change little or not at all over time (e.g., Policies or Directives).
- > **Active records** – Records that change constantly with circumstances or as work is completed.

In identifying vital records, organizations first need to identify those records that if damaged or destroyed would disrupt essential functions and the flow of information, causing considerable inconvenience and jeopardizing operations.

*Essential records* refer to information systems and applications, electronic and hardcopy documents, references, and records necessary to sustain essential functions during a continuity situation.

Records should be stored off-site in case the primary site is damaged.

## TEN CONTINUITY PLAN ELEMENTS CONTINUED



### A essential records program should:

- Identify essential records and establish procedures and measures for preserving, protecting, accessing and recovering them (if lost or damaged).
- Consider using multiple forms of media for storing essential records. Take into account special protection needs and equipment required to access records for different kinds of media.
- Make provision for continuity personnel to use respective media, such as local area network, electronic and hardcopy files, support information systems, internal and external e-mail to access essential records. Provide locations of and accessibility codes/procedures for essential records.
- Keep a dossier of essential records at continuity facilities, including a list of key emergency personnel and contact numbers; complete inventory of vital records containing precise locations of essential records, keys or access codes; instructions on how to access essential records; list of recovery experts or vendors; and a copy of the continuity plan.
- Conduct risk assessments on the security of essential records and databases to identify and determine where an dhow best to store essential records.
- Establish measures for securing classified or sensitive data.
- Ensure relevant personnel are training in identifying, inventorying, storing, accessing and maintaining essential records.
- Ensure latest versions of records are available.



**7. Provide for human resource planning.**

An organization’s staff is the sum of talent, energy, knowledge, and enthusiasm that people invest in their work. Irrespective of personnel status in the Continuity Plan, all staff should be provided with clear instructions on what they are required to do in an emergency.

Human resource planning principles should guide all continuity efforts--demonstrating sensitivity to individual employee needs and maximizing the contributions of all employees.

**Managing human resources during continuity situations, organizations should:**

- > Involve top management, employees, and other stakeholders in developing, communicating, and implementing Continuity Plans.
- > Identify employees that can perform critical skills and have the competencies for handling continuity activities, assign them continuity roles and responsibilities, and provide the necessary training to perform tasks.
- > Provide direction to continuity personnel on organizing individual emergency preparedness measures, such as personnel readiness kits or family preparedness planning.
- > Address and identify functional needs employees/visitors in all continuity planning processes.
- > Establish processes for communicating the organization’s operating status – if it is open or closed for business.
- > Establish processes for alerting, notifying/contacting and accounting for all personnel in the event of an emergency.
- > Identify a Human Resource Liaison (HR continuity coordinator or manager) to assist with human resources and emergency planning when developing continuity programs.
- > Establish processes for communicating and disseminating information to all personnel on human-specific issues, such as pay, leave, staffing benefits and other human resources issues.
- > Streamline and improve administrative processes through drill/exercise.

## TEN CONTINUITY PLAN ELEMENTS CONTINUED



In promoting readiness, organizations should consider how an emergency would affect individuals and their family.

**Organizations should develop family support plans that:**

- > Provide personnel with accountability procedures to know each employee's status.
- > Provide a means of keeping personnel informed.
- > Provide personnel with information on developing their family emergency plans.
- > Provide information about family support services at or near the alternate facility.

**In encouraging personnel to prepare for their personal needs as well as professional responsibilities, organizations should assist:**

- > **Individuals** to identify and prepare drive-away kits customized to meet their personal needs.
- > **Families** to develop and maintain family support plans.

Individual	Family
<p>Recommended emergency supplies include:</p> <ul style="list-style-type: none"> <li>&gt; Water and food</li> <li>&gt; Essential medication</li> <li>&gt; Batter-powered radio and extra batteries</li> <li>&gt; A flashlight, whistle and wrench or pliers to turn off utilities</li> <li>&gt; First aid kit</li> <li>&gt; Dust or filter mask</li> <li>&gt; Plastic sheeting and duct tape to "seal" the room</li> <li>&gt; Moist towelettes, garbage bags for personal sanitation</li> </ul>	<p>Recommended emergency plan features:</p> <ul style="list-style-type: none"> <li>&gt; Identify an out-of-town contact</li> <li>&gt; Prepare contact list of emergency contact(s)</li> <li>&gt; Have coins or pre-paid phone card ready to call emergency contact</li> <li>&gt; Subscribe to alert services</li> <li>&gt; Have emergency kits prepared</li> <li>&gt; Have evacuation routes prepared</li> </ul>

**8. Specify devolution of control and direction.**

Continuity plans must include a devolution of operations plan in the event that the primary operating facility is severely damaged and personnel are unavailable or incapable of deploying to the continuity facility.

Devolution of operations plans address how an organization will identify and transfer its essential functions and/or leadership authorities away from the primary site and to a location that can adequately support continuity operations.

As devolution plans are intended to reinforce continuity programs, they are structured to continue essential functions and induce continuity elements similar or like the continuity program.

**Devolution of operations plans should:**

- > Identify and prioritize MEFs and the critical resources needed to facilitate their immediate transfer to a devolution site.
- > Establish a roster identifying points-of-contact (POCs) at the devolution site, and trained personnel who will perform essential functions when the devolution plan is activated.
- > Identify the likely triggers that would initiate or activate the devolution plan.
- > Specify how and when direction and control of organization operations will transfer to devolution sites.
- > List necessary recourses (people, equipment and materials) to perform essential functions at the devolution site.
- > Establish reliable processes and procedures to acquire resources to sustain operations for extended periods.
- > Establish procedures to restore or repair operations to their pre-emergency condition.

## DEVOLUTION OF CONTROL AND DIRECTION



In some cases, it may be necessary to activate the Continuity Plan through devolution. Capability to transfer statutory authority and responsibility for essential business functions from an agency's primary operating staff and facilities to another organization's employees and facilities, and to sustain that operational capability for an extended period.

**Procedures** - The decision to implement procedures for devolution could happen in the following two ways:

**Active** - Agency's primary devolution site will be chosen by the ERG if the organization must temporarily transfer statutory authority and responsibilities of essential business functions to devolution site. EGR notifies internal dispatch/communication center to activate the devolution strategy and inform the devolution site to re-establish communications, roles and responsibilities of the organization. The senior executive staff of that site assumes the responsibility of devolution process/mission of that organization (primarily done while organization are in transit to an alternate site and while critical staff are re-establishing essential business functions). Devolution site transfers those statutory authorities and responsibilities back, once essential business functions have been re-established at primary alternate site.

**Passive** - Any member of the EGR activates the passive devolution of control plan after being notified of the catastrophic event impacting the organization. After accessing the situation and finding that there is not sufficient leadership, staff or resources required to continue essential business operations from the primary facility or a dedicated continuity site, ERG starts the devolution human resource process of filling vacancies and re-establishment of essential business functions ( following legal, statutory, regulatory, and administrative procedures).



← TEN CONTINUITY PLAN ELEMENTS CONTINUED

In addition to providing direction in planning for continuity situations, continuity plans also need to establish procedures for activating and implementing the plan.

In a disaster, personnel need guidance and direction on responding to emergency situations, and when and how to activate the continuity plan.

When it has been determined the situation requires activation of the continuity plan, personnel will need to know how and where to relocate operations.

**To activate the plan and relocate operations, continuity plans should include:**

- A decision matrix to determine how the emergency should be responded to.
- Directions on devolving operations to alternate emergency personnel or other organizations/agencies when it is deemed impossible for the organization to activate its continuity plan.
- Instructions for notifying and alerting all personnel of emergencies.
- Procedures for moving to an alternate facility, including directions and maps to the site, any security access codes, parking restrictions, etc.
- List of contents and locations of drive-away kits and instructions for use.
- Instructions on relocating vital records to the alternate facility.
- Procedures for acquiring necessary equipment/resources that are not already in place.

For more information on activation and relocation, flip to “Phase II: Activation.”



## 9. Provide for reconstitution and recovery.

Reconstitution is the process by which surviving and/or replacement personnel restore normal operations to enable the organization to function at full capacity.

Organizations must outline a plan to restore operations and return to the primary facility (if possible).

Once it has been established that the emergency situation has ended and the hazard/threat has passed, personnel will need to know how to proceed in recovering and resuming operations.

**To restore and reconstitute operations, continuity plans should include:**

- Procedures for identifying when the emergency has ceased.
- Procedures for notifying personnel when continuity operations have ended.
- Procedures for assessing extent of damage to affected facilities, equipment and resources.
- Procedures for determining if the primary site is safe and suitable to accommodate operations.
- Procedures for assessing what repairs are required, how long they will take, how to estimate repair costs and how to facilitate restoration.
- Instructions for resuming normal operations.

For more information on reconstitution, flip to “Phase IV: Reconstitution.”



**TEN CONTINUITY PLAN ELEMENTS CONTINUED**

**10. Provide for test, training and exercises.**

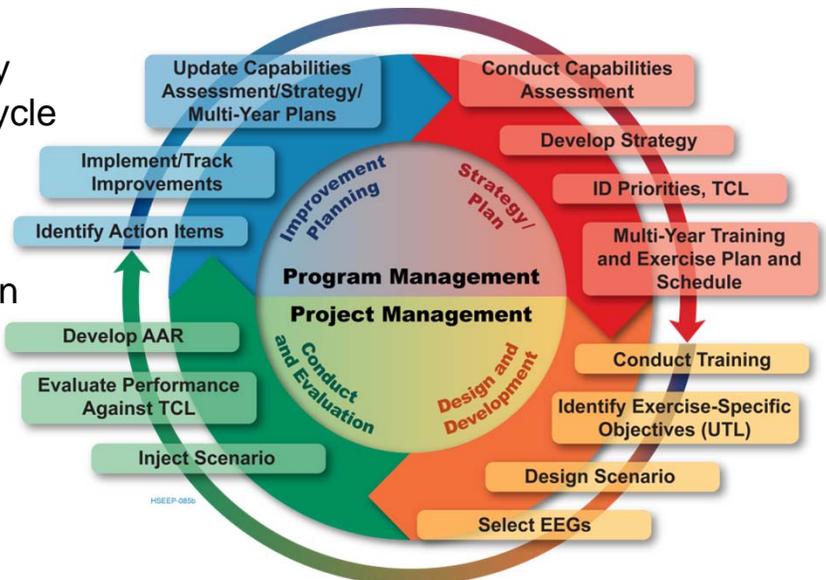
Ensuring continuity plans and procedures effectively support a viable COOP capability, the elements that comprise the program must be prepared, exercised and evaluated. This involves training personnel, testing procedures, resources and personnel, and assessing the state of preparedness through exercises.

To prepare and measure readiness of an organization’s COOP capability, Continuity Plans should:

- > Develop a Continuity Multi-Year Training and Exercise Program that incorporates an all-hazard approach based on the risk/vulnerability analysis. (re-assess yearly)
- > Incorporate NIMS/SEMS/ICS training and methodology, facilitating effective decision making during all four phases of continuity planning.
- > Conduct annual training for executives, supervisors, COOP individuals and teams.
- > Conduct annual testing and exercise of continuity plans and procedures. Test emergency alert and notification procedures quarterly.
- > Conduct inter-agency/organization exercises of continuity plans where applicable and feasible.
- > Devise methods for evaluating results of exercises and tests.

**Continuity Program Training and Exercise Cycle**

A standardized continuity program management cycle ensures consistency by establishing consistent performance metrics, prioritizes implementation plans, promulgates best practices, and facilitates consistent cross-agency continuity evaluations



## DOCUMENTING THE CONTINUITY PLAN



There is no specific format for writing continuity plans. Organizations must have the flexibility to design plans based on organizational structure, command and control, MEFs and service support activities. However, FEMA, EMAP, Cal EMA provides the following recommended format as an approach to documenting continuity plans.

### Executive Summary

- > The executive summary explains why the organization is developing a continuity plan and defines its goals. It should briefly discuss the authorities on which the plan is based and its scope.

### Introduction

- > The introduction explains the importance of continuity planning to the organization. It may discuss the background for planning, and its applicability and scope, as well as note authorities who helped develop the plan. It should include its planning assumptions and description of concept of operations.

## DOCUMENTING THE CONTINUITY PLAN

### Planning basis

- > Organizations have the flexibility to format continuity plans to fit the complexity and ease of implementation. The planning requirement basics include the information on which the continuity plans are based. It includes:
  - Purpose and assumptions
  - Applicability and scope
  - Authorities and references
  - Policy and background
  - Program management (roles and responsibilities)
  - Essential functions
  - Concept of operations (includes all 4 continuity phases)
  - Devolution of control and direction
  - Reconstitution and recovery
  - Delegation of authority
  - Order of succession
  - Vulnerability analysis
  - Vital record and database management
  - Alternate facilities including MOA/MOUs
  - Human capital
  - Communications (interoperability)
  - Logistics (critical resource needs)
  - Multi-Year T & E Plan and Budget
  - Planned maintenance (includes weekly/monthly/yearly reqt.'s)

### Appendices (optional)

- > Appendices may contain:
  - Glossary of key terms, definitions and acronyms
  - Locations of alternate facilities, resources, equipment and systems
  - Maps and evacuation routes
  - Operational checklists
  - Quick reference cards
  - Inserts of pertinent supporting plans
    - Disaster recovery plan
    - Emergency operations plan
    - Occupant emergency plan (building evacuation)
    - Pandemic
    - Family support

### Maintaining continuity readiness

- > To maintain/sustain a viable continuity capability, the culture of the organization must continually review/update as well as invest in training and development, building skills and competencies to increase employee flexibility. Responsibility resides with the highest level of management and their commitment to effectively support, resource and implement the continuity program.

## TEST, TRAINING AND EXERCISE PROGRAMS

### REINFORCE ORGANIZATIONAL CAPABILITY

For the continuity plan to be implemented successfully during a disaster, all personnel – both continuity and non-continuity staff – need to be aware of their roles and responsibilities in an emergency and possess the skills to perform their obligations.

Conducting training, tests and exercises (TT&E) helps to prepare personnel to respond efficiently and effectively to hazardous situations. It will also highlight areas in the continuity plan that require attention or improvement, such as faulty or insufficient equipment, missing information, inadequate levels of staffing, undefined procedures or authorities, etc.

#### Training

Training familiarizes continuity personnel with the continuity roles and responsibilities.

**To adequately prepare personnel, training should cover:**

- > Specific tasks and responsibilities for individual continuity and non-continuity positions in order to activate, support and sustain continuity operations.
- > Assuming successive leadership and authority during continuity situations – for pre-delegated authorities.
- > Making policy determinations and decisions at various organization levels – for pre-delegated authorities.
- > Using and relocating to continuity facilities – existing sites, alternate sites or virtual offices.
- > Setting up and using continuity communication systems and alternate forms of information technology.
- > Identifying, protecting and accessing vital records.
- > Identifying when to implement devolution of control and direction plans.
- > Facilitating reconstitution plans and procedures.

Training should be documented: the type of training, date and time of training, those completing the training and who gave the training.

**TEST, TRAINING AND EXERCISE PROGRAMS**

**Training Continued**

Tests are conducted to assess capabilities – not personnel. By testing, organizations can identify if policies and procedures work as intended and where programs might lie. To ensure resources and procedures are well maintained, organizations should test:

- > Alert, notification and activation procedures.
- > Vital records management, including plans for recovering vital records, critical information systems and accessing databases.
- > Primary and reserve resources and services (i.e., for power, water fuel, etc.) at continuity sites.
- > Security and safety provisions and measures for personnel and records.
- > Communication equipment and systems – for both internal and external use.
- > Reconstitution procedures.

Results of tests should be documented and gaps identified and managed.

**Exercises**

Exercise programs allow organizations to evaluate the effectiveness of previously conducted tests and training activities.

Organizations should develop and run exercise programs that provide opportunities for personnel to practice performing the various elements of a continuity program. Exercise could be **discussion-based**, such as seminars, workshops, tabletop exercises where individual responsibilities are discussed, or **operation-based**, such as drills, Function or full-scale exercises where personnel perform their roles in a simulated scenario.



Exercises should cover the full spectrum of continuity operations, from notification and activation through to relocation, sustaining operations and reconstituting operations.

For guidance on developing and evaluating exercises, organization can refer to the Homeland Security Exercise and Evaluation Program (HSEEP) at: <https://hseep.dhs.gov>.

## PHASE II: ACTIVATION AND RELOCATION



The activation and relocation phase covers the period just after the disaster has occurred through to the first 12 hours of notifying all personnel and relocating operations to alternate facilities.

The diversity of emergencies that could affect and disrupt operations requires organizations to have activation procedures and relocation procedures in place to instruct personnel on when and how to respond to emergencies.

Emergencies impact organizations in different ways. Not every emergency will result in the activation of the continuity plan, nor require operations to relocate. The continuity plan should only be activated under the conditions determined by the continuity plan.

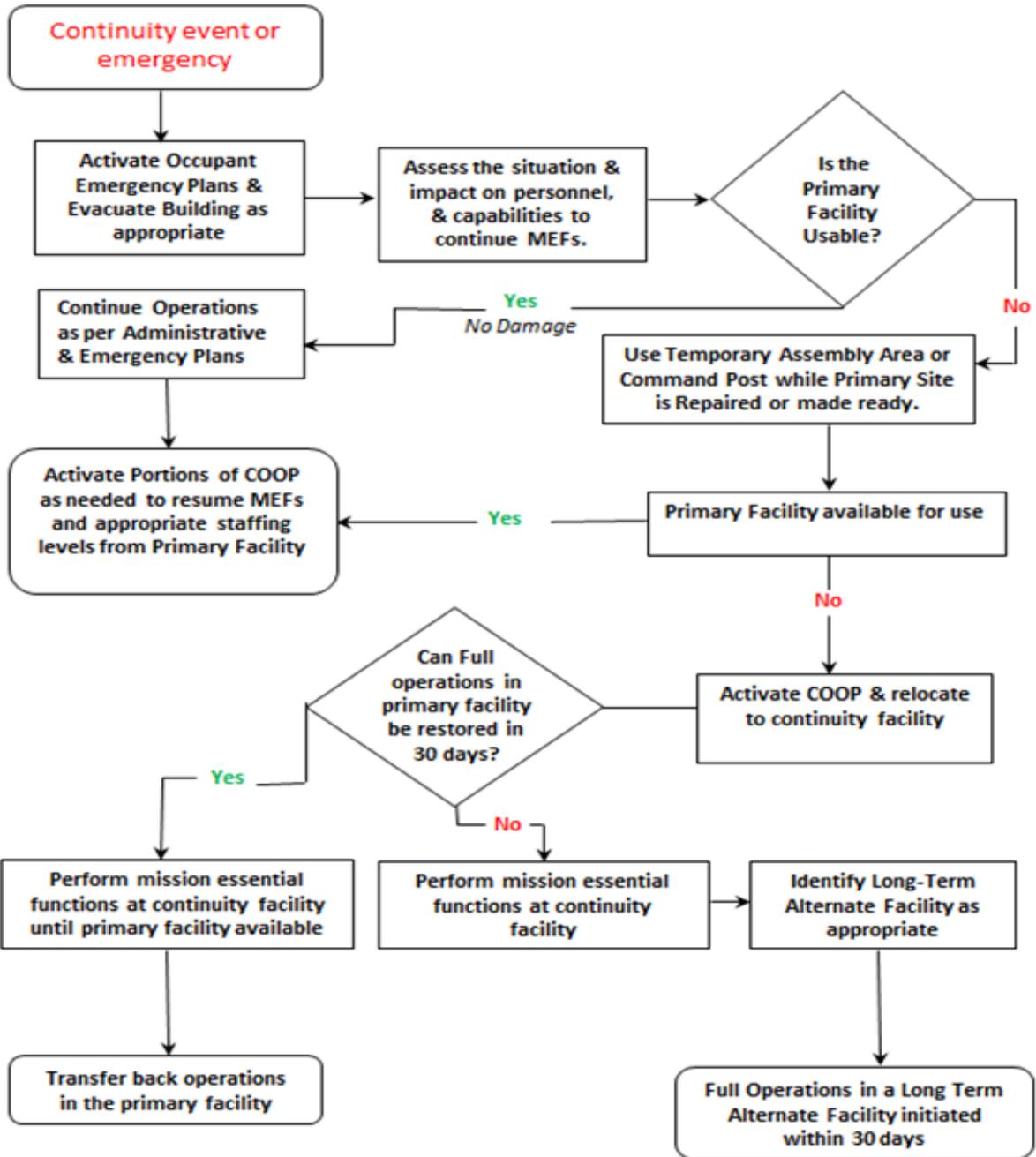
Activation and relocation procedures enable organization to respond appropriately to emergency situations and establish the continuation of essential functions with efficient timeframes.

To respond aptly to an emergency, organizations should establish a decision-making process to enable continuity personnel to recognize the need to activate the continuity plan.

Where it is decided that operation must be relocated to alternate facilities, organization should have procedures developed that will guide personnel on how to evacuate the primary site, and for continuity personnel to deploy alternate facilities and commence continuity operations.



## ACTIVATION DECISION MAKING PROCESS



### ERG INITIAL ACTIONS - (Multi-hazard Incident Response Planning)

Initiate alert/notification of ERG upon:

- Loss of infrastructure.
- Loss of communications/network.
- Damage to facilities.
- Localized HazMat event.

Within the first 5 minutes, determine whether initial ERG conference call will be conducted to obtain situational awareness and begin the planning process.

## CONDITIONS FOR CONTINUITY PLAN ACTIVATIONS

The plan could be activated in response to a wide range of events or situations, such as severe weather, the threat of a terrorist attack or asbestos contamination. Any event that makes it impossible for personnel to continue working in a full capacity could require the continuity plan to be activated.

Consulting a decision matrix that ties the organization's reaction to the level of emergency is effective in determining when to activate the continuity plan.

Although there is no standardized classification system for emergencies, an example model of a decision-making matrix has been provided.

### DECISION-MAKING MATRIX

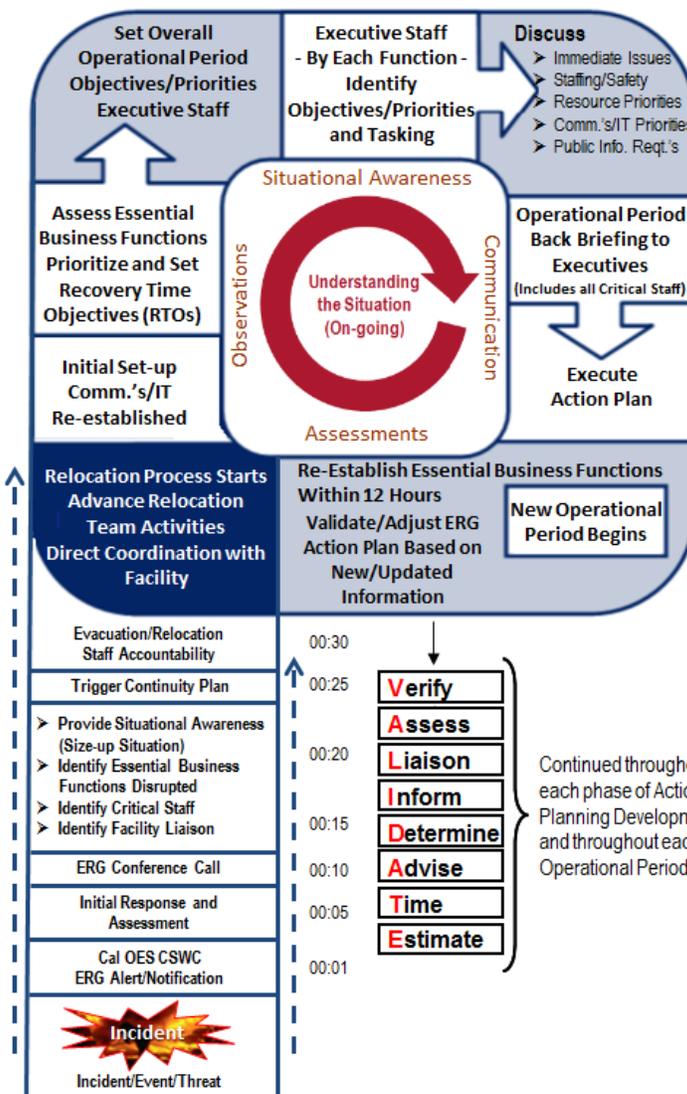
Emergency Level	Category	Impact on Organization	Decision
I	Alert	Event that impacts operations up to 12 hours but does not require a response beyond what is normally available.	Appropriate personnel are alerted and assistance is requested. Activation of continuity plan not required.
II	Stand-by	Event that impacts operations for 12-72 hours and may require assistance beyond what is normally available.	Appropriate personnel are alerted. Continuity team is notified and placed on stand-by. Limited continuity plan activation depending on effects of impact.
III	Partial Activation	Event that disrupts operation of one or more essential functions or impacts vital systems for more than three day.	Key leadership is alerted. Continuity team alerted and instructed on full or partial activation of a continuity plan. Might require activation of continuity plan for less than 14 days. Event requires command and control resources be applied.
IV	Full Activation	Event that significantly disrupts operation of three or more essential functions or impacts multiple vital systems for more than seven days.	Key leadership is alerted. Continuity team alerted and instructed on full or partial activation of continuity plan. Might require activation of continuity plan and relocation of large number of personnel to alternate facility for longer than 14 days. Event requires command and control resources be applied.

## ACTIVATION DECISION MAKING PROCESS

Depending on the type of emergency, the gravity of the emergency threat, and the organization's circumstances, management will need to decide whether it is necessary to activate the continuity plan.

NIMS and California's SEMS outlines organizational response structure, requiring a thorough knowledge of the fundamental principles of ICS (a standardized, on-scene, all-hazard incident management concept). The use of ICS is designed to provide a standard response and operation procedures to reduce the problems and potential for miscommunications.

Continuity planning "P" illustrates incident management decision process. This process integrates ICS management by objective (MBO), which enables an effective and efficient decision making process during continuity activations.



**Note:** Disruptions may involve building evacuation for a short term duration not requiring continuity plan activation.

Facilities severely impacted or damaged for an extended period would require the organization to activate its continuity plan.

### Management Initial Actions

- Recognize the need for action.
- Identify problems or potential problems.
- Gather and share information before acting.
- Do not ignore information discrepancies; rather, analysis discrepancies before proceeding.
- Alert/notify/respond and quickly disseminate information.
- Identify the type of evacuation/disruption.
- (Immediate, Delayed, Voluntary or Mandatory)
- Conduct 100% accountability.
- Decision Point – activate continuity plan?
- Identify alternate facilities, establish control objectives

## ACTIVATION BASICS



**A** ctivation and relocation cover the initial 12-hour period following activation of the continuity plan. During activation, organizations should:

- Activate plans, procedures and schedules to continue essential functions, and located and assemble the personnel, vital records, and equipment involved with these functions.
- Notify appropriate offices, organizations and agencies of continuity activation, regardless of location and the time of activation.

For the continuity plan to be activated immediately after it has been determined necessary to commence continuity operations, organizations should have activation procedures established to guide personnel on how to initiate implementation of the plan.

All personnel will need to know who makes the decision to activate; the circumstances for activation; the timeframe for activating the plan; and what level of activation is required.

**Activation procedures should include:**

- Instructions for personnel to respond to the alert and notification process.
- Instructions for personnel to participate in the call-down.



*A call-down/alert tree is a series of telephone calls from one person to the next used to relay specific information.*

**Activation requires notification of:**

- Personnel of alternate facilities
- Emergency POCs
- Other POCs, as appropriate
- Continuity essential and non-essential personnel

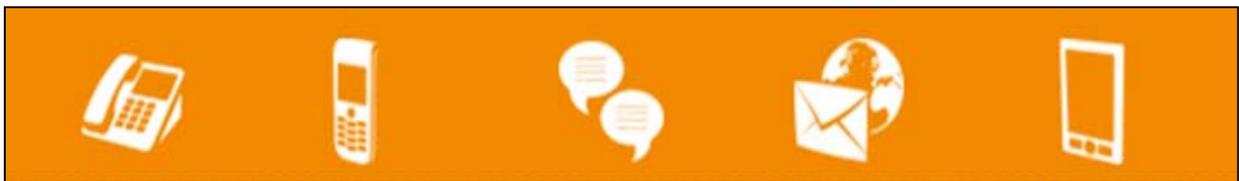
## ACTIVATION BASICS CONTINUED

To notify relevant personnel and other entities of the need to activate the continuity plan, personnel should have access to call-down protocols and procedures that stipulate the methods of contacting continuity and non-continuity personnel and the timeframe for the call-down sequence to be enacted.

### When calling:

- > Personnel should have alternative phone numbers to reach a person if he/she is out of the office or the call is during non-duty hours.
- > The person at the top starts the tree – it may help to have a brief script complete with the specific action.
- > If nobody answers, a message should be left and the next person is called. This ensures information is distributed in a timely manner.
- > The facts about the event should be presented.
- > The receiver of the call should confirm that they will make the next call on the list.
- > The person at the *end* of the list should contact the person at the *top* once they receive the message. This ensures that the tree was completed and the message was accurate.

### Activation Considerations:



ERG  
CERT/IT  
Logistics

Executive  
Mid-Management

Primary Facility  
Alternate Site

Business Services

## ERG ACTIVATION CONFERENCE CALL

### ERG Activation Team Conference Call

Upon receipt of the request to notify and/or activate the ERG, the Communications Center will immediately set up a conference bridge (\_\_\_\_.\_\_\_\_.\_\_\_\_) for ERG members to the appropriate level requested. ERG members will be advised to join the conference call within 5-10 minutes.

ERG Conference Call/Planning Meeting (10 to 20 Minute Duration)

### AGENDA

- Roll Call
- Situation Summary
- Situational Assessment - Discuss/Assess the situation:  
(Determine best COA)
  - What has occurred?
    - Assess Impacts to Critical Business/T-Comm.'s Systems
  - What actions are currently being taken?
  - What end result is anticipated?
- Action Plan - Discuss objectives & priorities for resumption strategy
- Discuss Critical Resource Needs
- Assess/Identify Critical Staffing Needs/Safety Requirements
- Set Organization Assignments

### Emergency Response Group Members Overall Responsibilities

- Each member must be prepared to provide an initial report of the impact to essential business functions, if required.
- Members make recommendations as to whether to suspend non-essential functions and/or relocate to an alternate facility, based on the information received.
- ERG executive staff will make a determination based on the recommendations and provide direction on actions to be taken.
- Secretary/Director/Chief Deputy or designee will determine the need for subsequent conference calls and provide the date and time information.



**ERG INITIAL ACTION CHECKLIST**

**ERG Initial Action Checklist**

Executive Duty Officer/Comm.’s Center initiates alert/notification of ERG upon:

- Loss of infrastructure
- Damage to facilities
- Loss of information technology and comm.’s networks
- Local/regional catastrophic event

Within the first 5 minutes, determine whether initial ERG conference call will be conducted to obtain situational awareness and begin the planning process.

**STEP 1 – Establish Current Objectives and Priorities**

- Size-up situation (does Continuity Plan need to be implemented)
- Review organizational Mission Essential Functions (MEFs), prioritize and set targets for service resumption based on current assessment
- Discuss immediate and emerging issues

**STEP 2 – Assess Critical Resource Requirements**

- Identify internal and external resource requirements to support activation
- Select resource and service suppliers to meet the need

**STEP 3 – Assess Critical Staffing and Safety**

- Determine functional/critical staffing requirements
- Identify health and safety issues or concerns

**STEP 4 – Assess Communication Requirements**

- Provide a centralized flow of information as an incident/threat unfolds
- Provide access to data/information systems to create a common operating picture and situational awareness

**STEP 5 – Public Information Message**

- Establish a unified message following the event with prompt and accurate responses to the public and media

## ERG INITIAL ACTION PLANNING



### 1. Establish Organizational Overall Control Objectives:

(applies for the duration of the incident and/or continuity phase)

- Prioritize essential functions and establish resumption strategy
- Collect, analysis, validate and disseminate critical information requirement
- Stabilize the situation (identify and mitigate impacted essential business functions) Discuss current and immerging issues
- Integrate support efforts for a unified operational structure
- Deliver coordinated, prompt, reliable, and actionable information that is clear and consistent

### 2. Assess Impacts to Essential Business Functions

- Discuss current impacts and immerging issues
  - Email Services
  - Websites
  - Databases
  - Applications
  - Communications
  - Vital Services
  - Critical Staffing
  - Essential Records
  - Critical Equipment
- Prioritize essential business function resumption strategy
- Identify resource requirement needs
- Identify critical staff and safety needs
- Develop Public information Message (internal and external)

### 3. Set Resumption Strategy (recovery time objectives - RTOs)

- Immediate
- 6 Hours
- 12 Hours
- 24 Hours
- 48 Hours
- 72 Hours Plus

**PHASE II – ALERT/NOTIFICATION CHECKLIST**

Item	Task
1	Receive notification of emergency
2	If necessary, conduct evacuation
3	Account for all staff
4	If necessary, contact Emergency Responders (Fire, Police, EMS)
5	Ensure that employee health and safety measures are put into effect
6	Contact Building Maintenance for shutting down utilities to limit further damage
7	Direct and assist emergency personnel as required
8	Notify Executive Management and activate Continuity Plan as necessary
9	If necessary, invoke Orders of Succession
10	Initiate notification of all staff including continuity personnel
11	Convene Divisional meeting at assembly area or other pre-determined site.
12	<p>Assemble supporting elements required for re-establishing and performing essential functions at continuity facility location:</p> <ul style="list-style-type: none"> <li>▪ Establish over all operational objectives</li> <li>▪ Prioritize MEFs and set Recovery Time Objectives (RTOs)</li> <li>▪ Identify critical staffing requirements and health/safety concerns</li> <li>▪ Identify critical resource requirements</li> <li>▪ Identify communication concerns                             <ul style="list-style-type: none"> <li>- IT &amp; T-Comm.'s systems and equipment</li> <li>- Required Vital files, records and databases</li> </ul> </li> <li>▪ Discuss the Public and Employee information message</li> </ul>
13	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate facility location
14	Notify all support agencies and critical contacts of the activation.

## PHASE II – ALERT/NOTIFICATION CONTINUED



Item	Task
15	Prepare designated communications and other equipment for relocation
16	Take appropriate preventive measures to protect other communications and equipment that will not be relocated
17	Make computer connectivity and phone line transfers to designated alternate facility
18	Ensure go-kits are complete and ready for transfer
19	Continuity personnel begin movement to continuity facility
20	Evaluate the safety of the selected continuity facility prior to deployment
21	Develop and deliver status report
22	Notify remaining staff and appropriate agencies of movement to continuity location

## PHASE III – CONTINUITY OF OPERATIONS

### Re-Establish Business Essential Functions Checklist

Item	Task
23	Notify other State and Federal agencies, and surrounding jurisdictions as appropriate that operations have shifted to a continuity facility.
24	Organize staff and account for non-continuity personnel
25	Develop shift rotations as required
26	Determine which mission essential functions have been affected
27	Develop and deliver status report
28	Prioritize remaining essential functions for restoration
29	Track status and restoration efforts of all essential functions
30	Administrative actions to assemble: <ul style="list-style-type: none"> <li>▪ Onsite telephone/radio communications</li> <li>▪ E-mail and telephone directory (internal/External)</li> <li>▪ Human Resources/Critical staffing/workforce office plan</li> <li>▪ Health and safety plan</li> </ul>



**PHASE III – CONTINUITY OF OPERATIONS**

Item	Task
31	Occupy workspace: <ul style="list-style-type: none"> <li>▪ Stow gear and equipment</li> <li>▪ Vital files, essential records and databases</li> <li>▪ Test telephone, fax, e-mail, radio and other communications</li> <li>▪ Establish comm.'s with essential support and office elements</li> </ul>
32	Ensure all vital records, systems and equipment are available at alternate facility location
33	Coordinate procurement of additional equipment, as required
34	Identify internal and external resource requirements to support activation <ul style="list-style-type: none"> <li>▪ Look at critical support requirements for 24, 48 and 72 hours plus</li> <li>▪ Identify alternative ways of providing resource requirements following a disruption, the costs and Implications</li> <li>▪ Identify personnel, technology, telecommunication and business service support resources required</li> <li>▪ Select, using a procurement process, the resource and service suppliers and products required to meet the essential functional needs of the organization</li> </ul>
35	Public Information Message <ul style="list-style-type: none"> <li>▪ Gather and prepare information specific to this incident/threat</li> <li>▪ Identify any restrictions in content of media release information</li> <li>▪ Establish a unified message following the event with prompt and accurate responses to the public and media</li> <li>▪ Coordinate local Public Relations activities and determine strategies for communicating with the public and private sectors</li> <li>▪ Manage media information requests and public information and media releases</li> <li>▪ Monitor rumor control and set-up information line specific to this event</li> </ul>

## PHASE IV – RECONSTITUTION AND RECOVERY



PHASE IV – RECONSTITUTION AND RECOVERY	
Return to Normalcy Checklist	
Item	Task
36	Appoint reconstitution team
37	Survey condition of original facility and determine feasibility of salvaging, restoring or returning to original facility when emergency subsides or is terminated
38	Develop long term reconstitution and recovery plans should original facility cannot be re-occupied.
39	Inventory and salvage useable equipment, materials, records and supplies from damaged facility, if possible
40	Evaluate original or new facility to assure that all critical services and support are available and operational.
41	Conduct transition of mission essential functions, personnel and equipment from continuity facility back to designated facility
42	Conduct transition of remaining essential function, personnel and equipment from continuity facility back to designated facility
43	Schedule and conduct initial debrief with staff and identify key issues, lessons learned and best practices.



**HUMAN RESOURCES – ACCOUNTABILITY**

As staff are an organization’s most valuable asset, COOP procedures must provide measures for accounting for personnel – where they are and how they are in relation to the emergency situation.



**Accountability is critical to ensure that:**

- > All personnel are safe
- > ERG members have arrived at the site
- > Substitute and/or additional personnel can be identified quickly, when necessary

In addition to procedures for accounting for the presence of personnel, procedures should be established to identify missing personnel and how to

**ACCOUNTING FOR PERSONNEL**

Continuity personnel will need to know where to go to check in and receive assignments. A reception area to receive personnel and in-processing procedures for managing and coordinating deployed personnel should be established to provide logistic and administrative guidance to personnel on arrival.

Providing clear direction to personnel will better prepare them and enable essential functions to be established more efficiently.

**In-processing information should include:**

- > Hours of operation
- > Anticipated duration of the relocation, if known
- > Safety and security measures
- > Location of equipment, resources, amenities, etc.
- > Key personnel contact numbers/details

Deployed personnel may also need information about hotels, restaurants, laundry facilities and medical treatment facilities.

## PHASE III – CONDUCTING CONTINUITY OPERATIONS

Organizations must determine when they are ready to establish operations at the alternate facilities. To determine if they are in a position to begin operations, deployed staff should:

- › Assess the availability and functionality of necessary equipment, resources and systems; and
- › Verify the levels of available personnel at the site; or
- › Identify what is lacking in order to begin and weigh up how close they are to commencing.

Organizations should develop a checklist to facilitate a preliminary inventory of necessary items, resources and personnel at the continuity facility to swiftly discern the organization's level of readiness to engage in continuity operations.

Roles identified as vacant due to absent personnel should be filled by substitute personnel, while functions delayed due to insufficient labor should be allocated additional personnel. Responsibility for performing tasks and activities should be transferred to deployed personnel as appropriate.



## ESTABLISHING CONTINUITY OPERATIONS

When resources, materials, utilities and personnel are ready, operations can begin. Operations at alternate facilities will vary widely depending on the organization, the situation and its essential functions.

**In general, continuity operations will involve:**

- Executing mission-essential critical functions. Highest-priority functions must be activated first. Lower-priority essential functions are activated as soon as possible.
- Activating processes and procedures to obtain the resources necessary to begin and sustain essential functions.
- Establishing communications to all critical organizations, personnel and customers and notifying them of operations and status.
- Assigning responsibilities and tasks to key personnel. Where initial staffing is inadequate, additional personnel should be assigned.
- Developing redeployment plans and procedures for phasing down continuity operations and returning equipment, records, communications and personnel to the primary site to resume normal operations.

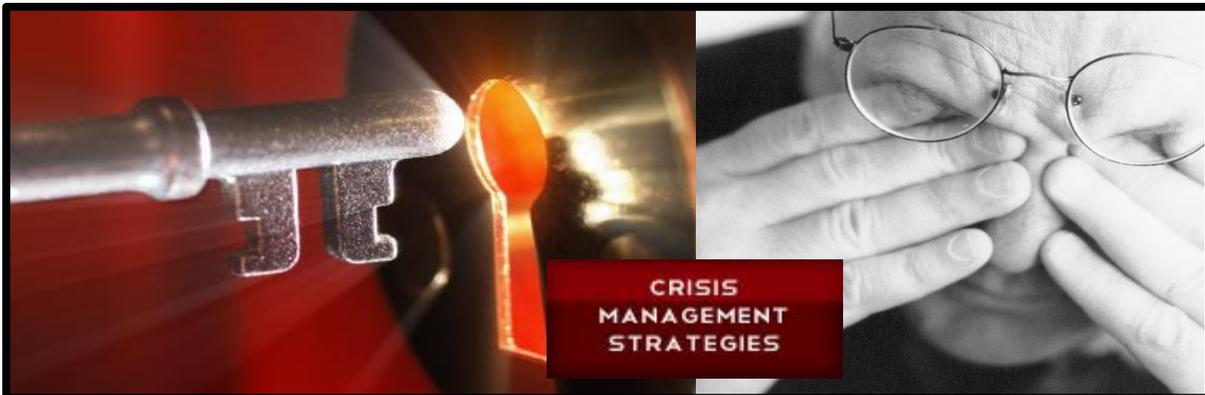


## SUSTAINING CONTINUITY OPERATIONS

In sustaining operations at an alternate facility, COOP plans and procedures need to allow flexibility to expand, alter or redirect operations as required.

Where operations need to change, organizations must have the capability to support these changes, COOP plans and procedures must provide measures for acquiring and sustaining extra resources, items and personnel to accommodate the increase in need.

If expanding operations, organizations should consider the changes in personnel needs and stress levels. Deployed personnel may be working longer shifts and under increased pressure, and with fewer or limited resources, During sustained operations, organizations should provide for rest and recreation area where possible. In some situations, Critical Incident Stress Debriefings (CISD) may be required.



The health and safety of deployed personnel should also be covered in the COOP Plan. Personnel should have access to medication and medical assistance, transportation to and from their accommodation. The work environment must also be to preserve the well-being of personnel, with adequate heating, ventilation and air conditioning.

The security of the facility must be assured to ensure deployed personnel remain protected throughout operations. Arrange for the continuity premises to be monitored regularly. Surveillance equipment and alarms should be installed and activated. Deployed personnel will need to know access codes, where appropriate. Personnel should also be provided with contact numbers and procedures for contacting emergency and security personnel.

← PHASE IV: RECONSTITUTION AND RECOVERY

Reconstitution of normal operations is initiated immediately after an emergency event concludes. Reconstitution is the process of terminating continuity operations at alternate facilities and returning equipment, resources, records and personnel to the original or a replacement primary site and resuming normal operations.

General plans for reconstitution should be developed concurrently with COOP planning. Specific reconstitution planning should begin as soon as the COOP plan implemented.

All personnel should be informed that the need for continuity operations has ended and provided with instructions on resuming normal operations, including where and when to go to work.

In reconstitution, efforts are made to salvage, restore and recover the primary work site- with the approval of federal, state and local law enforcement and emergency services. Should an assessment of the primary facility reveal extensive damage beyond repair, arrangements should be made to procure a new facility.

Due to the complexity in moving to a primary facility, a reconstitution manager could be designated to oversee the move. The reconstitution manager or equivalent should coordinate and supervise the orderly transition of all functions, personnel, equipment, systems and records from the alternate facility to the new, temporary or restored site.

Prior to relocating, a security, safety and health assessment should be conducted on the site to assure its suitability.



## RECONSTITUTION AND RECOVERY

Reconstitution of operations is generally conducted using a priority-based approach, which determines the order of recovery activities. Most essential functions are transferred last, once necessary equipment, resources and systems are in place at the new or restored site, to ensure they remain operable and uninterrupted during the reconstitution period.

A comprehensive after-action review should be completed following reconstitution to identify the strengths and weakness of the COOP plan. Lessons learned should be incorporated into revisions of the COOP program.



### Reconstitution activities include:

- > Notifying all personnel that the threat or emergency no longer exists, and how, where and when to resume normal operations.
- > Assessing the status of affected facilities and overseeing repairs or acquisition of new facility.
- > Supervising the transition or operations to restored or new facilities.
- > Verifying all systems ( IT, mail service, security, etc.), communications (voice and data), and resources ( equipment, databases, personnel, etc.) are available and are in a condition to resume all functions.
- > Conducting an alter-action review to assess the effectiveness of COOP plans and procedures and applying information from lessons learned into corrective actions as soon as possible. This could involve developing a Corrective Action Plan (CAP).
- > Identifying which (if any) records were affected by the emergency, and work towards recovering all records- vital and non-vital.

## CONTINUITY PROGRAM MANAGEMENT

### MAINTAINING A VIABLE PROGRAM

Once essential functions are determined and prioritized, and the resources necessary to enable critical functions to operate are acquired and in place, a review process must be used to ensure that functions can be sustained in emergency situations.

The Continuity program management cycle is a continuous process of reviewing and analyzing COOP plans and procedures to maintain an organization's continuity readiness. It involves developing COOP plans and procedures; training personnel to implement COOP plans and evaluating their performances as well as the viability of the plans through exercise; analyzing and documenting the results; and applying this knowledge to develop corrective action, which is then fed back into COOP plans and procedures in order to improve them.





## EXECUTIVE BUY-IN

### Foundation of a Successful Continuity Program

- Committed and Dedicated Continuity Program Manager that can articulate the program to senior leaders.
- Agency/organization culture that supports Continuity readiness, preparedness and resilience.
- Viable Continuity capability and executable Continuity Plan.
- Clearly defined priorities and budget process.
- Coordination, collaboration, and information sharing with internal and external stakeholders.
- Senior leadership commitment to Test, Training and Exercise a clearly defined multi-year program linked to a Corrective Action Program.
- Effective decision making procedures for implementing, mitigating and recovering from any disruption to essential functions.
- Alternate facilities MOUs and space requirements must be talked about regularly.
- Conduct a critical analysis of business functions and essential personnel.



### Gaining Senior Leadership Support

- Ensures the capability of continuing agency essential functions and services during a wide range of potential emergencies.
- Ensures critical planning gaps, budgetary, and management challenges are identified and addressed.
- Supports local and regional resilience, just sound business practice.
- Ensures protocols and procedures are established for:
  - Incident management
  - Prioritizing critical business functions and establishing RTOs
  - Identifying technology/comm.'s requirements and systems recovery
  - Vital records management and backup in a secure environment
- Agency/organization participation in a Continuity Test, Training and Exercise (TT&E) program and Corrective Action Program.

**CONTINUITY PROGRAM MANAGEMENT****Understand the Four Key Leadership Challenges**

- Competing for time and resources.
- Program benefits linked to agency overall mission success.
- Over coming the perception of low (or no) risk events that impact critical business functions.
- Not having a well defined process for executive implementation.

**Gaining Senior Leadership Support**

- Demonstrate the value of continuity to the agency/organization mission.
- Outline the continuity strategy of the agency/organization to re-establish essential functions during a wide range of potential emergencies.
- Outline the legal requirements, mandates, and guidance for implementing a Continuity Program.
  - NCPIP and FCD 1 & 2 (Federal Gov.) and CGC 1 (Non-Fed-Entities)
  - Ensure compliance with applicable Executive Orders S-04-06 and W-9-91
  - Cal OES's Continuity Planning Guidance Template for (State Agencies/Departments & Non-Federal Entities)
- Outline the Benefits of a Continuity Program.
  - Supports a sound business practice making the organization more robust.
  - Significantly reduce the cost of disruptions, minimizes loss of life, injury, and property damage.
  - Helps protect the organization's fundamental mission, vision, image, and reputation.
  - Allows the organization to understand what unacceptable risks to its mission, staff, facilities and equipment.
  - Protects the staff, facilities, and the Return on Investment (ROI).
  - Provides operational consistency throughout the response, mitigation and recovery phases.
  - Ensures timely and effective decision making when disaster strikes
  - The budget and resource planning process is institutionalized.
  - Program evaluates potential weakness and strengthens any short coming.

## MAINTAINING A VIABLE CONTINUITY PLAN

Gathering feedback on efficiency, dependability, relevance and effectiveness of COOP plans and procedures is vital in maximizing an organizations preparedness.

This feedback helps focus corrective action to update/ improve the COOP program by establishing priorities, informing budget decision-making, assessing risk and their impact, and driving improvements in plans and procedures.

A continuity program management cycle not only maintains the COOP program, but also standardizes plans and procedures to ensure consistency and compatibility in interoperable activities. To achieve standardizations, plans and procedures should be evaluated against established performance metrics based on best policies.

### PLANS AND PROCEDURES

Continuity plans and procedures should be developed to expressly provide for the continued performance of MEFs and SEFs under all circumstances, and to be integrated, as appropriate with other organizations: government and non-government.

In developing comprehensive COOP plans and procedures, continuity objectives and requirements should be established and measured against set metrics. Assessing the attributes of COOP plans and procedures against metrics enables an organizations to measure the robustness of its capability.

A succinct metric has been provided (over the page) for initial consultation. For a more detailed set of evaluation criteria, organizations could refer to FEMA's Continuity Evaluation Tool (CET) at <http://www.fema.gov/government/coop/index.shtm>.



**CONTINUITY PLAN METRIC**

Continuity Requirement	Metric
Essential functions should be continued up to 30 days or until normal operations can be resumed, with the ability to be fully operational at alternate sites no later than 12 hours after Continuity Plan activation.	<ul style="list-style-type: none"> <li>▪ Measure abilities to perform functions through test, training and exercise, identifying gaps and solutions.</li> <li>▪ Measure capability to be fully operational at a continuity site within 12 hours through test, training and exercise, identifying gaps and solutions.</li> </ul>
Succession orders and pre-planned devolution of authorities should be planned and documented in advance in accordance with applicable laws, legal, statutory, regulatory and administrative authority.	<ul style="list-style-type: none"> <li>▪ Document and train on secession orders.</li> <li>▪ Document and train on devolution of authorities.</li> </ul>
Vital resources, facilities and records should be safeguarded, and official access to them must be provided.	<ul style="list-style-type: none"> <li>▪ Document measures to safeguard essential records, facilities and records.</li> <li>▪ Document measures to ensure official access to essential records.</li> </ul>
Acquisition of necessary resources for continuity operations on an emergency basis.	<ul style="list-style-type: none"> <li>▪ Identify emergency resource requirements.</li> <li>▪ Identify agreements/contracts to ensure resumption strategy.</li> </ul>
Critical communications at alternate sites should be available and in sufficient quantities in order to support connectivity between and among key leadership, personnel, critical partners and the public.	<ul style="list-style-type: none"> <li>▪ Identify current Communications capability at alternate sites.</li> <li>▪ Plan and improve communications between alternate sites annually.</li> </ul>
Reconstitution and recovery capability must be established to resume normal operations.	<ul style="list-style-type: none"> <li>▪ Establish a reconstitution and recovery plan.</li> </ul>
Personnel to relocate to alternate facilities to support re-establishing essential business functions must be trained, equipped and prepared.	<ul style="list-style-type: none"> <li>▪ Verify that staff are identified, trained and prepared to relocate to alternate sites.</li> </ul>

## TEST, TRAINING AND EXERCISES

A training, testing and exercise program assists organizations in preparing and validating their capabilities to perform MEFs and SEFs during any emergency.

In Preparing continuity capabilities, organizations must plan, conduct and document periodic tests, training and exercises. TT&E activities should align with organizations particular continuity plans and procedures and address the specific characteristics of the COOP program to assure relevancy and suitability.

By documenting the outcomes of TT&E activities, organizations are able to review results and identify any deficiencies in the COOP program and implement corrective action to alter and improve plans and procedures. Documented results also enable an organization to verify its viability.

**TT&E programs should be designed to:**

- > Communicate objectives, expectations and standards for all phases of continuity operations.
- > Improve coordination and compatibility of continuity efforts between and within the organizations, levels of government and other organizations.
- > Establish a framework of performance criteria to measure and evaluate progress and achievement of continuity requirements.
- > Deliver training and assess continuity requirements annually.
- > Identify best practices and corrective action – to be included in procedures.
- > Provide input into development of corrective action plans.



## ← EVALUATIONS, AAR, LESSONS LEARNED

Evaluations and assessments provide feedback on the organization's level of continuity preparedness and how effective TT&E programs are in readying leadership and personnel for activating and sustaining continuity operations.

After each continuity exercise, organizations should conduct comprehensive debriefings to collect feedbacks from participants. Debriefings provide opportunities for participants to identify weakness in COOP plans and procedures and to suggest improvements.

Feedback should be presented in After-Actions Reports (AAR) to document the performance of exercise-related tasks and present recommendations for improvements.

**AARs should include:**

- > **Exercise overview:** Brief description of overview, such as type and focus of exercise, how the exercise was structured, where and how the exercise was conducted, what other organizations/agencies (if any ) participated.
- > **Goal and objectives of the exercise:** Scope and content of the exercise.
- > **Synopsis of the exercise event:** Overview of the scenario and what happen at each location and when.
- > **Analysis of mission outcomes:** How well goals and objectives were achieved. How well participants performed as a whole.
- > **Analysis of critical task performance:** How well each individual performed their task/s, and whether they were performed as expected.
- > **Conclusions:** Summary of the AAR, reflecting on demonstrated capabilities of participants, lessons learned for major recommendations, and recommended actions to refine exercise.



## CORRECTIVE ACTION PLANS



A corrective action plan (CAP) outlines the measures required to resolve issues identified through TT&E assessments.

The purpose of a CAP is to identify continuity deficiencies and areas requiring improvement, and provide strategies for addressing these issues.

### Developing a CAP involves:

1. Planning and organizing the evaluation of TT&E results.
2. Collecting data.
3. Analyzing data.
4. Developing the AAR and CAP.

### The AAR should discuss:

- > How well continuity plans and procedures were followed.
- > How well essential functions were performed and how long they took to be operational at continuity sites.
- > How adequate training programs are for preparing ERG personnel.
- > How well resourced and funded the operations were.
- > How well personnel collaborated and communicated to perform tasks.
- > How well plans and procedures supported the performance of essential functions.

The CAP is developed after the completion and approval of the AAR.

### The CAP should include:

- > Description of actions to correct poor-performing areas, as recommended in the AAR.
- > Allocation of personnel to implement corrective actions.
- > Timelines for completing each corrective action.

Corrective actions should then be implemented, tested and validated through exercises to determine their effectiveness.



## MULTI-YEAR STRATEGY

To support the continuity program management cycle, and organizations are encouraged to develop a multi-year strategy and program management plan (MYSPMP).

The MYSPMP provides an approach to developing, maintaining and annually reviewing the components of an organization's continuity program.

### **MYSPMPs should outline processes for:**

- > Designating essential functions and resources.
- > Defining short- and long- term COOP goals and objectives.
- > Forecasting and establishing budgetary requirements.
- > Identifying personnel, infrastructure and communications and other resources to support the program.
- > Anticipating and addressing issues and potential problems in implementing the program.
- > Assessing risk to reach informed decisions on best course of action for managing risk specific to the organization.
- > Ensuring operations are geographically dispersed.
- > Integrating security and strategies to protect personnel, facilities, infrastructure and communication from disruption.
- > Establishing planning, training and exercise activities and milestones for their attainment.
- > Developing a CAP to correct continuity issues identified through TT&E assessments.

## PLAN REVIEW SCHEDULE

Continuity plans are living documents that require periodic reviews and modifications. For continuity plans to remain current, they should be reviewed annually, at a minimum, and be approved by senior management. Changes should be applied to the plan as they occur.

## PROGRAM MAINTENANCE



The approach to maintaining a viable continuity capability means organizations must stay valiant and pro-active. This approach ensures the review and update of the Continuity Plan and its supporting documents; the orientation of training of both existing and newly hired/appointed personnel; and the testing of the continuity capability through internal, local, regional and state exercises.

Tasks	Frequency
<input type="checkbox"/> Manage distribution of Continuity Plan updates	Quarterly
<input type="checkbox"/> Update Order of Succession/Delegation of Authorities	As needed
<input type="checkbox"/> Ensure annual update/validation	Annually
<input type="checkbox"/> Confirm/update information on ERG members	Quarterly
<input type="checkbox"/> Re-assess critical business, IT, comm.'s systems	Annually
<input type="checkbox"/> Incorporate Technology Recovery Plan Updates	
<input type="checkbox"/> Incorporate changes, as required to (CONOPS)	Quarterly
<input type="checkbox"/> Incorporate a Multi-year T&E Program <input type="checkbox"/> Brief executive staff on T&E strategy <input type="checkbox"/> Conduct informational training updates <ul style="list-style-type: none"> <li>• Executive/ERG members</li> <li>• Manager/Supervisors</li> <li>• Employee Orientation</li> </ul> <input type="checkbox"/> Conduct a stair step/building block exercise approach <input type="checkbox"/> Seminar, Workshop, TTX, FE, FSE <input type="checkbox"/> Support and participate in interagency exercises <input type="checkbox"/> Incorporate lessons learned and best practices	Quarterly
<input type="checkbox"/> Monitor volume/age of vital records/materials and assist users with cycling/ removing files	Ongoing
<input type="checkbox"/> Maintain MOA/MOU contacts/Up to date	Annually
<input type="checkbox"/> Conduct alternate site visits	Annually or as needed
<input type="checkbox"/> Conduct joint exercises with local, regional, and/or state agencies	Annually or as needed
<input type="checkbox"/> Maintain and update appropriate security access protocols for distribution and access to the PLAN	Ongoing

**AUTHORITIES, REFERENCES AND RESOURCES**

COOP planning guidelines were provided to federal agencies via a number of Federal Preparedness Circulars (FPCs). In June 2004, the Federal Emergency Management Agency (FEMA) updated the five-year old Federal Preparedness Circular #65, which superseded previous FPCs on COOP planning. This newer version expanded continuity of operations planning to reflect new COOP procedures since 9/11.

**National Continuity Policy**

On May 9, 2007, President Bush issued National Security Presidential Directive (NSPD) 51 / Homeland Security Presidential Directive (HSPD) 20 on National Continuity Policy (NCP). This directive updates longstanding directives designed to assure that governing entities are able to recover from a wide range of potential interruptions.

The National Continuity Policy Implementation Plan (NCPIP), mandated by the National Continuity Policy, was published in August 2007. It focuses on critical actions to ensure the effectiveness and survivability of our national continuity capability through any circumstance.

**Federal Continuity Directives**

To provide the operational guidance to implement the NCP, the Department of Homeland Security (DHS) developed Federal Continuity Directives (FCDs 1 & 2). The purpose of the FCDs is to provide direction for the development of continuity plans and programs for the Federal executive branch.

**Continuity Guidance Circular 1 & 2**

Continuity Guidance Circular (CGC 1 ), published by DHS in January 2009 and CGC 2 in July 2010, provides guidance and direction for the development of continuity plans and programs for non-federal entities.

**State Planning Requirements**

Executive Order S-04-06, released by Governor Schwarzenegger on April 18, 2006, directed the California Emergency Management Agency (Cal EMA) to promulgate continuity guidelines by June 1, 2006 for use by state and local agencies to update their Continuity of Operations/Continuity of Government Plans. The on-going expectation is that State agencies will use the guidance developed by Cal EMA to update and maintain their Continuity Plans.

## AUTHORITIES, REFERENCES AND RESOURCES



### **State Continuity Planning Guidance**

State continuity planning guidance was recently revised to ensure consistency with the new federal model. The updated *California Continuity Planning Guidance and Plan Template* (2009) provides direction to the State executive branch agencies for developing all-hazard continuity plans and programs. It includes a listing of the State Continuity Planning Objectives and State Essential Functions. The guidance is available for download on the Cal OES – Preparedness Branch (Continuity Planning) website. <http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/continuity-planning>

### **California’s State Emergency Plan (SEP)**

State agencies, local governments and others must be prepared to respond to emergencies that might occur within their areas of responsibility and must be able to assess whether their capabilities are sufficient to respond effectively. The SEP addresses the state’s response to extraordinary emergency situations associated with natural disasters or human-caused emergencies.

<http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/state-of-california-emergency-plan-emergency-functions>

### **California Emergency Services Act (ESA)**

ESA describes the methods for carrying out emergency operations, the process for rendering mutual aid, the emergency services of governmental agencies, how resources are mobilized, how the public will be informed and the process to ensure continuity of government during an emergency or disaster.

<http://www.caloes.ca.gov/PlanningPreparednessSite/Documents/Emergency%20Services%20Act.pdf>

### **Standardized Emergency Management System (SEMS)**

SEMS is the cornerstone of California’s emergency response system and the fundamental structure for the response phase of emergency management. The system unifies all elements of California’s emergency management community into a single integrated system and standardizes key elements.

<http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/standardized-emergency-management-system>

 **AUTHORITIES, REFERENCES AND RESOURCES****Emergency Management Institute (EMI)**

EMI offers self-paced courses designed for professional development for those individuals who have emergency management and preparedness responsibilities. Independent Study Program (ISP) website:

<http://training.fema.gov/IS/crslist.asp>

**FEMA Master Continuity Practitioner**

Level – I <http://training.fema.gov/EMIWeb/COOP/level1.asp>

Level – II <http://training.fema.gov/EMIWeb/COOP/level2.asp>

**Homeland Security Exercise and Evaluation Program (HSEEP)**

HSEEP is a capabilities and performance based exercise program that provides a standardized methodology and terminology for exercise design, development, conduct, evaluation and improvement planning.

<https://www.fema.gov/media-library/assets/documents/32326>

**FEMA Resource & Document Library**

The FEMA Resource and Document Library contains guidance and policy papers, program regulations, guidelines, brochures, on emergency management related information.

<https://www.fema.gov/resource-document-library>

**Note:** The key for success in implementing an effective Continuity Plan is the functional decision-making process. There must be a general understanding throughout the organization and commitment that current MEFs have to continue to be carried out without disruption and that all problems that arise are prioritized and resourced appropriately.



# Continuity Planning Guidance

## Preparing the State

Applying principles of *Continuity Planning* allow organizations or companies to quickly re-establish critical essential business functions under all circumstances that may disrupt normal operations.

### Continuity Program Objectives

- Reduce loss of life and minimize damage and losses.
- Continue mission essential functions under all conditions.
- Ensure Line of Succession.
- Support the continuation of the State Essential Functions.
- Protect essential facilities, equipment, records, and other assets.
- Reduce or mitigate disruptions to operations.
- Achieve a timely and orderly recovery from an emergency and resumption of full service in order to accomplish the mission.



# All-Hazards

For additional information about Cal OES Continuity Program, please visit our website at:

<http://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/continuity-planning>

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