Continuity Plan Template and Instructions for Non-Federal Governments

[Department/Agency/Organization Name]

[Month Day, Year]

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

[Department/Agency/Organization Symbol/Logo]

September 2013

THIS PAGE INTENTIONALLY LEFT BLANK

CONTINUITY PLAN TEMPLATE AND INSTRUCTIONS

This template provides instructions, guidance, and sample text for the development of continuity plans and programs in accordance with Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013, and Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions),* dated October 2013. The guidance in this template applies to all levels of State, territorial, tribal, and local government jurisdictions. The private sector and other non-government organizations may also benefit from the use of this template.

The template follows the traditional functional Emergency Operations Plan format detailed in the Federal Emergency Management Agency (FEMA) National Preparedness Directorate's Comprehensive Preparedness Guide 101, *Developing and Maintaining Emergency Operations Plans*, dated November 2010. By using this planning template, organizations will address each of the planning elements and requirements described in CGC 1 and 2. Based on the key elements of a viable continuity capability, the template guidance describes recommended content for each section of a continuity plan and includes sample text, tables, and graphics which may be modified as appropriate.

This document is organized in a flexible format so that organizations may select all or only certain sections of the template to develop or improve their plan. While using this template to assist in developing continuity plans and programs, organizations are encouraged to tailor the template to meet their specific continuity planning requirements. It should be noted that in its current format, the template is unclassified; however, organizations should be aware of the need to protect specific continuity planning information and classify their individual continuity plans as appropriate.

Note: *Once organization-specific information is entered into the body of the template,* delete the italicized and bolded instructions found throughout the document.

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

National Continuity Programs
Continuity of Operations Division
Federal Emergency Management Agency
500 C Street, SW, Suite 515
Washington, DC 20472
FEMA-STTLContinuity@fema.dhs.gov

THIS PAGE INTENTIONALLY LEFT BLANK

TABLE OF CONTENTS

BASIC PLAN 1

I. PROMULGATION STATEMENT 1

II. ANNUAL REVIEW 2

III. RECORD OF CHANGES 2

IV. RECORD OF DISTRIBUTION 3

V. PURPOSE, SCOPE, SITUATIONS, AND ASSUMPTIONS 3

A. Purpose 3

B. Scope 4

C. Situation Overview 4

D. Planning Assumptions 5

E. Objectives 6

F. Security and Privacy Statement 6

VI. CONCEPT OF OPERATIONS 7

A. Phase I: Readiness and Preparedness 7

B. Phase II: Activation 9

C. Phase III: Continuity Operations 13

D. Phase IV: Reconstitution Operations 14

E. Devolution of Control and Direction 17

F. Procedures for Devolving Essential Functions to Devolution emergency relocation group (DERG) at Devolution Site 19

VII. ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES 19

VIII. DIRECTION, CONTROL, AND COORDINATION 20

IX. DISASTER INTELLIGENCE 21

X. COMMUNICATIONS 22

XI. BUDGETING AND ACQUISITION OF RESOURCES 22

XII. MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN 23

XIII. PLAN DEVELOPMENT AND MAINTENANCE 23

XIV. AUTHORITIES AND REFERENCES 24

ANNEX A. Functions 26

Identification of Essential Functions 26

ANNEX B. Identification of Continuity Personnel 30

ANNEX C. Essential Records Management 32

ANNEX D. Continuity Facilities 36

ANNEX E. Continuity Communications 40

ANNEX F. Leadership and Staff 42

Orders of Succession 42

Delegations of Authority 43

ANNEX G. Human Resources 48

ANNEX H. Test, Training, and Exercises Program 52

ANNEX I. Risk Management 56

ANNEX J. Glossary 60

ANNEX K. Authorities and References 64

ANNEX L. Acronymns 67

Hazard Specific Appendices 69

Annex Implementing Instructions 69

BASIC PLAN

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

I. PROMULGATION STATEMENT

The promulgation statement should briefly outline the organization and content of the Continuity Plan and describe what it is, who it affects, and the circumstances under which it should be executed. Promulgation is the process that officially announces/declares a plan. It gives the plan official status and gives both the authority and the responsibility to organizations to perform their tasks. The organization head or a designee may approve the Continuity Plan. Once signed, the promulgation statement officially announces the Continuity Plan. Sample text for this section is provided below.

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

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

This plan is developed in accordance with guidance in the *National Continuity Policy Implementation Plan*; Continuity Guidance Circular 1 (CGC 1) , *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013; Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments,* dated October 2013; **[Organization Name]** Management Directive **[enter Directive number and title]**; and other related Directives and guidance.

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

II. ANNUAL REVIEW

Headquarters Continuity Plan

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

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

SAMPLE: Annual Review Table

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

Non-Headquarters Continuity Certification

On an annual basis, non-Headquarters' organizations (subcomponent, regional, and field offices) should submit to its organization HQ documentation on its Continuity efforts. Organizations may use regional or overarching Continuity/Devolution plans that integrate the Continuity capabilities of multiple subordinate organizations.

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

III. RECORD OF CHANGES

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

SAMPLE: Document Change Table

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

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

IV. RECORD OF DISTRIBUTION

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

SAMPLE: Document Transmittal Record

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

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

V. PURPOSE, SCOPE, SITUATIONS, AND ASSUMPTIONS

A. PURPOSE

The introduction to the Continuity Plan should explain the importance of continuity planning to the organization and why the organization is developing a continuity plan. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a continuity capability for the organization. Sample text for this section is provided below.

The **[Organization Name]**'s mission is to **[enter mission statement]**. To accomplish this mission, the **[Organization Name]** must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides

planning and program guidance for implementing the **[Organization Name]** Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on the **[Organization Name]** missions, personnel, and facilities.

The overall purpose of continuity planning is to ensure the continuity of the essential functions under all conditions. The current changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity capabilities and plans that enable organizations to continue their essential functions in an all-hazards environment and across a spectrum of emergencies. These conditions, coupled with the potential for terrorists' use of weapons of mass destruction, have increased the importance of having continuity programs that ensure continuity of essential functions across all levels of government.

B. SCOPE

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

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

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

C. SITUATION OVERVIEW

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

According to the National Continuity Policy Implementation Plan, it is the policy of the United States to maintain a comprehensive and effective continuity capability. To that end, by continuing the performance of essential functions through a catastrophic emergency, the non-Federal Governments support the ability of the Federal Government to perform National Essential Functions (NEFs), continue Enduring Constitutional Government, and ensure that essential services are provided to the Nation's citizens. A comprehensive and integrated continuity capability will enhance the credibility of our

national security posture and enable a more rapid and effective response to, and recovery from, an emergency.

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

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

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

Further, the **[Organization Name]** has evaluated its daily operating facilities in accordance with inter-organization risk and safety standard operating procedures or applicable organization standards. This evaluation is found at **[insert document name or location]**.

D. PLANNING ASSUMPTIONS

This section should familiarize the reader with the underlying assumptions made during the planning process. Sample text for this section is provided below.

This Continuity Plan is based on the following assumptions:

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

However, in the event that ERG deployment is not feasible due to the loss of personnel, the **[Organization Name]** will devolve to **[list devolution office/region]**

- **[Insert additional assumptions here]**

E. OBJECTIVES

All plans and procedures should list the objectives that the plans are designed to meet. Continuity planning objectives are identified in CGC 1. Sample text for this section is provided below.

- The continuity planning objectives for non-federal agencies are identified in CGC 1, *Continuity Guidance for Non-Federal Governments (States, Territories, Tribal, and Local Government Jurisdictions)*, dated July 2013.
- The **[Organization Name]** continuity objectives are listed below:
    1. Ensuring that an organization can perform its essential functions under all conditions.
    2. Reducing the loss of life and minimizing property damage and loss.
    3. Executing a successful order of succession with accompanying authorities in the event a disruption renders that organization's leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of office.
    4. Reducing or mitigating disruptions to operations.
    5. Ensuring there are facilities from where organizations can perform essential functions.
    6. Protecting personnel, facilities, equipment, records, and other assets critical to the performance of essential functions in the event of a disruption.
    7. Achieving the organization's timely and orderly recovery and reconstitution from an emergency.
    8. Ensuring and validating continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise (TT&E) program and operational capability.

F. SECURITY AND PRIVACY STATEMENT

This section should detail the classification of the Continuity Plan. Since continuity plans and procedures are sensitive, organization-specific documents, at a minimum, organizations should classify their plan as "For Official Use Only". Further, if the Continuity Plan includes a roster of continuity personnel that includes personal information, such as telephone numbers, that information is protected under the Privacy Act of 1974. Organizations should consult with their security office, or similar entity, to ensure their continuity plans and procedures are appropriately classified and marked. This section also should include dissemination instructions, including to whom and via what means the organization will disseminate the plan. Sample text for this section is provided below.

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

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

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

VI. CONCEPT OF OPERATIONS

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

A. PHASE I: READINESS AND PREPAREDNESS

This section should address the readiness and preparedness activities to ensure personnel can continue essential functions. Readiness is the ability of an organization to respond to a continuity event. This phase includes all organization continuity readiness and preparedness activities. Organizations should only include those readiness and preparedness activities and systems that are applicable to their plan. Sample text for this section is provided below.

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

- Organization readiness and preparedness
- Staff readiness and preparedness

Organization Readiness and Preparedness

The **[Organization Name]** preparedness incorporates hazard/threat warning systems, which includes **[list threat and warning systems here]**.

Staff Readiness and Preparedness

The **[Organization Name]** personnel will prepare for a continuity event and plan in advance for what to do in an emergency. Personnel will also develop a Family Support Plan to increase personal and family preparedness. The www.ready.gov website provides guidance for developing a Family Support Plan and includes a "Get Ready Now" pamphlet that explains the importance of planning and provides a template that can be tailored to meet family-specific planning requirements.

The **[Organization Name]** continuity personnel will create and maintain drive-away kits. Continuity personnel are responsible for carrying the kits to the continuity facility or pre-positioning the kits at the continuity facility. A typical drive-away kit should contain those items listed in the table below. The **[Organization Name]** will implement the following procedures to maintain currency of the drive-away kits: **[Insert procedures here, such as having continuity personnel bring kits on annual exercises, distributing materials updated quarterly or establishing an acquisition program to regularly replace agency-supplied emergency items]**.

SAMPLE: Drive-Away Kit

The following table lists suggested items for continuity drive-away kit contents.

Drive Away Kit	
• Identification and charge cards – Organization identification card – Drivers license – Organization travel card – Health insurance card – Personal charge card • Communication equipment – Pager/BlackBerry – Organization cell phone – Personal cell phone • Hand-carried Essential Records • Continuity Plan • Directions to continuity facility • Maps of surrounding area • Business and leisure clothing • Flashlight	• Business and personal contact numbers – Emergency phone numbers and addresses (relatives, medical doctor, pharmacist) • Toiletries • Chargers/extra batteries for phones, GPS, and laptop • Bottled water and non-perishable food (i.e., granola, dried fruit, etc.) • Medical needs – Insurance information – List of allergies/blood type – Hearing aids and extra batteries – Glasses and contact lenses – Extra pair of eyeglasses/contact lenses – Prescription drugs (30-day supply) – Over-the-counter medications, dietary supplements • **[Insert additional recommended items]**

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

B. PHASE II: ACTIVATION

This section should explain the activation process from the primary operating facility and provide a process or methodology for attaining operational capability at the continuity facility (ies) with minimal disruption to operations within 12 hours of plan activation. This section should also address procedures and guidance for organization personnel who will not relocate to the continuity facility. Sample text for this section is provided below.

To ensure the ability to attain operational capability at continuity facilities and with minimal disruption to operations, the **[Organization Name]** will execute activation plans as described in the following sections.

Decision Process Matrix

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

(1) The state governor, county executive or county commissioner, local mayor, city mayor, or city administrator may initiate continuity activation

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

(3) **[Insert additional activation measures here]**

Continuity Plan activation is a scenario-driven process

that allow flexible and scalable responses to the full spectrum of all-hazards/threats that could disrupt operations with or without warning and during work or non-work hours. Continuity Plan activation will not be required for all emergencies or disruptions, since other actions may be more appropriate.

The decision to activate the **[Organization Name]** Continuity Plan and related actions will be tailored for the situation and based on projected or actual impact and whether or not there is warning. To support the decision-making process regarding plan activation, key organization personnel will use the decision matrix below to support that process.

SAMPLE: Decision Matrix

Decision Matrix for Continuity Plan Implementation		
	Work Hours	Non-Work Hours
Event With Warning	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Are employees unsafe remaining in the facility and/or area? • **[Insert additional points here]**	• Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Who should be notified of the threat? • Is it safe for employees to return to work the next day? • **[Insert additional points here]**
Event Without Warning	• Is the facility affected? • Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? • What are instructions from first responders? • How soon must the organization be operational? • **[Insert additional points here]**	• Is the facility affected? • What are instructions from first responders? • How soon must the organization be operational? • **[Insert additional points here]**

As the decision authority, the **[Organization Head]** will be kept informed of the threat environment using all available means, including the **[Organization Name]** Emergency Communications Center, regional notification systems, local operations and State and

local reporting channels and news media. The **[Organization Head]** will evaluate all available information relating to:

(1) Direction and guidance from higher authorities
(2) The health and safety of personnel
(3) The ability to execute essential functions
(4) Changes in threat advisories
(5) Intelligence reports
(6) The potential or actual effects on communications systems, information systems, office facilities, and other vital equipment
(7) The expected duration of the emergency situation
(8) **[Insert other agency considerations here]**

Alert and Notification Procedures

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

Before an event, personnel in the **[Organization Name]** will monitor advisory information, including the **[insert applicable systems]**. In the event normal operations are interrupted or an incident appears to be imminent, the **[Organization Name]** will take the following steps to communicate the organization's operating status with all staff:

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

Upon the decision to activate the Continuity Plan, the **[Organization Name]** will notify all **[Organization Name]** personnel, as well as affected and interdependent entities with information regarding continuity activation status, operational and communications status, and the anticipated duration of relocation. These entities include:

- Continuity facilities and on-site support teams with information regarding continuity activation, relocation status, and the anticipated duration of relocation
- The **[Organization Name]**'s Operations Center via **[include contact information]**, the **[Organization/Entity Name]** and other applicable elements/entities with information regarding continuity activation status, the **[Organization Name]**'s continuity facility, operational and communication status, and the anticipated duration of relocation

- All **[Organization Name]** employees with instructions and guidance regarding the continuity activation
- Organization headquarters, if a subordinate organization
- Subordinate organizations, if an organization headquarters
- **[Insert other points-of-contact, adjacent organizations, customers, stakeholders, and interdependent agencies here]**

Relocation Process

Once the Continuity Plan is activated and personnel are notified, the **[Organization Name]** will relocate continuity personnel and Essential Records to the **[Organization Name]** continuity facility(ies) if necessary. The **[Organization Name**] continuity personnel will deploy/relocate to the continuity facility(ies) to perform the **[Organization Name]**'s essential functions and other continuity-related tasks. A map and directions to the continuity facility will be included as part of the Continuity Plan **[insert where the map is in the Plan]**.

Emergency procedures during work hours with or without a warning will be implemented as follows:

- Continuity personnel, including advance team personnel, if applicable, will depart to the designated continuity facility from the primary operating facility or current location using **[insert method of transportation, such as privately owned vehicles, buses, etc here. Include any provisions made regarding the transport of disabled continuity employees].**
- Non-continuity personnel present at the primary operating facility or another location will receive instructions from the **[insert authority]**. In most scenarios, non-continuity personnel will be directed to proceed to their homes or other **[Organization Name]** facilities to wait for further guidance.
- At the time of notification, if available, information will be provided regarding safety precautions and routes to use when leaving the primary operating facility.

Emergency procedures during non-working hours with or without a warning will be implemented as follows:

- Advance team members, if applicable, will deploy to the designated continuity facility from their current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees]** at **[insert time here, such as immediately, the time specified during notification, etc.]**.
- Continuity personnel will depart to the assigned continuity facility from their current location using **[insert method of transportation, such as privately owned vehicles, buses, etc. here. Include any provisions made regarding the transport of disabled continuity employees]** at **[insert time here, such as immediately, the time specified during notification, etc]**.

- Non-continuity personnel will remain at their residence or other designated facility to wait for further instructions.

Non-continuity personnel may be required to replace or augment continuity personnel during activation. These activities will be coordinated by the **[insert office/title]** with the replacement staff on a case-by-case basis. Non-continuity personnel will remain available to replace or augment continuity personnel, as required.

The **[Organization Name title/authority]** will direct the **[Organization Name]**'s non-continuity personnel to move to **[insert location, such as another facility, duty station, or home]** until further notice.

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

C. PHASE III: CONTINUITY OPERATIONS

This section should describe the initial arrival process and operational procedures for the continuation of essential functions. Sample text for this section is provided below.

Upon activation of the Continuity Plan, the **[Organization Name]** will continue to operate at its primary operating facility until ordered to cease operations by the **[insert authority]** using **[insert method of notification here]**. At that time, essential functions will transfer to the continuity facility. The **[Organization Name]** should ensure that the continuity plan can be operational within 12 hours of plan activation.

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

- Ensure infrastructure systems, such as power and heating, ventilating, and air conditioning are functional
- Prepare check-in duty stations for ERG arrival
- Address telephone inquiries from ERG and non-ERG staff
- **[Insert additional tasks here]**

As continuity personnel arrive, the **[insert office/title]** will conduct in-processing to ensure accountability. In-processing procedures are conducted at **[insert exact location of in-processing]** and will include: **[insert steps to in-process continuity personnel here, including how to obtain the roster of continuity personnel and how the organization will reach individuals who have not in-processed for accountability, etc.]**. In addition, the office will identify all organization leadership available at the continuity facility.

Upon arrival at the continuity facility, the **[Organization Name]** continuity personnel will:

- Report immediately to **[insert location]** for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace as identified in **[insert location]** or as otherwise notified during the activation process
- Retrieve pre-positioned information and activate specialized systems or equipment
- Monitor the status of **[Organization Name]**'s personnel and resources
- Continue **[Organization Name]**'s essential functions
- Prepare and disseminate instructions and reports, as required
- Comply with any additional continuity reporting requirements with the **[Organization Name]**
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information
- **[Insert additional tasks here]**

A requirement of continuity personnel is to account for all **[Organization Name]** personnel. The **[Organization Name]** will use the following processes to account for all personnel:

- **[Insert processes here, such as using call down telephone trees, a 1-800 number, an alert and notification system, a website, etc. Include what office/title is responsible and how they will communicate with personnel who are unaccounted for.]**

During continuity operations, the **[Organization Name]** may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The **[Insert office/title/authority]** maintains the authority for emergency acquisition. Instructions for these actions are found **[insert instructions below or insert location of instructions if found in another document]**.

D. PHASE IV: RECONSTITUTION OPERATIONS

Organizations should identify and outline a plan to return to normal operations once organization heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated. Sample text for this section is provided below.

Within **[insert time period]** of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover the **[Organization Name]** primary operating facility after receiving approval from the appropriate State and local law enforcement and emergency services:

- **[Insert title]** will serve as the Reconstitution Manager for all phases of the reconstitution process
- Each **[Organization Name]** subcomponent will designate a reconstitution point-of-contact (POC) to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution and provide names of reconstitution POCs to **[insert title/office]** within **[insert number]** hours of the Continuity Plan activation

During continuity operations, **[insert office/title]** should determine the status of the primary operating facility affected by the event by **[insert methods here]**. Upon obtaining the status of the facility, **[Organization Name]** will determine how much time is needed to repair the primary operating facility and/or acquire a new facility. This determination is made in conjunction with **[insert offices and organizations here]**. Should **[Organization Name]** decide to repair the facility, **[insert office/title]** has the responsibility of supervising the repair process and should notify **[insert office/title]** of the status of repairs, including estimates of when the repairs will be completed.

Reconstitution will commence when the **[Organization Head]** or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity Plan. Once the appropriate **[Organization Name]** authority has made this determination in coordination with other State, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue to operate from the continuity facility
- Reconstitute the **[Organization Name]** primary operating facility and begin an orderly return to the facility
- Begin to establish a reconstituted **[Organization Name]** in another facility or at another designated location
- **[Insert any additional organization options here]**

Before relocating to the primary operating facility or another facility, the **[insert office/title]** will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the **[insert office/title]** will verify that all systems, communications, and other required capabilities are available and operational and that the **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.

Upon a decision by the **[Organization Head]** or other authorized person that the **[Organization Name]** primary operating facility can be reoccupied or that **[Organization Name]** will be reestablished in a different facility:

- The **[Organization Name]** Continuity Coordinator or other authorized individual should notify the **[insert offices and organizations and contact information here]** when available, and other applicable operations centers with information

regarding continuity activation status, the **[Organization Name]** continuity facility, operational and communication status, and anticipated duration of relocation. The **[Organization Name]** shall submit a Continuity Status Reporting Form, only if it contains more information beyond what has been reported, to **[insert contact information for appropriate status reporting procedures here]** using the form and procedures provided by the **[Organization Name]** or other specified continuity POC.

- The **[Insert office/title]** will develop space allocation and facility requirements.
- The **[Insert office/title]** will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using **[insert method of communication here].**
- The **[Insert office/title]** will coordinate with the **[Organization Name]** and/or other applicable facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable.
- The **[Insert office/title]** will develop procedures, as necessary, for restructuring staff.
- The **[Insert any additional activities associated with planning for reconstitution here].**

Upon verification that the required capabilities are available and operational and that the **[Organization Name]** is fully capable of accomplishing all essential functions and operations at the new or restored facility, the **[insert office/title]** will begin supervising a return of personnel, equipment, and documents to the primary operating facility or a move to a temporary or new permanent primary operating facility. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined below; the **[Organization Name]** will develop return plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert priority-based phase-down and return plan here]**

The **[Organization Name]** will continue to operate at its continuity facility until ordered to cease operations by the **[insert authority]** using **[insert method of notification here]**. At that time, essential functions will transfer to the primary operating facility. The **[Organization Name]** has developed plans to instruct personnel on how to resume normal operations as outlined below; the **[Organization Name]** will develop resumption plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert normal operations resumption plan here]**

The **[Insert office/title]** will identify any records affected by the incident by **[insert identification processes or contacts here]**. In addition, the **[insert office/title]** will effectively transition or recover Essential Records and databases, as well as other records that had not been designated as Essential Records, using the plan outlined below; the **[Organization Name]** will develop Essential Records transition and recovery plans based on the incident and facility within **[insert number]** hours of plan activation.

- **[Insert Essential Records transition and recovery plan here]**.

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining **[Organization Name]** staff at the continuity facility or devolution site will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The **[Insert title or titles]** will oversee the orderly transition from the continuity facility of all **[Organization Name]** functions, personnel, equipment, and records to a new or restored primary operating facility. The **[Insert office/title]** will develop a process for receiving and processing employee claims during the continuity event, including processing Human Resources claims (such as, Workers' Compensation, compensation for injuries, overtime pay, etc) and replacing lost or broken equipment.

The **[Organization Name]** will conduct an After Action Review (AAR) once back in the primary operating facility or in a new primary operating facility. The **[Insert office/title]** is responsible for initiating and completing the AAR and all offices within **[Organization Name]** will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in the **[Organization Name]** corrective action program (CAP), and then develop a remedial action plan as soon as possible after the reconstitution. The **[Insert office/title]** is responsible for documenting areas for improvement in the CAP and developing a remedial action plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with the **[insert office]** to ensure an effective transition or recovery of Essential Records and databases and other records that had not been designated as Essential Records. AAR and CAP documentation are maintained by the **[insert office]** and are found at **[insert location]**.

For additional information on reconstitution, see CGC 1, Annex M.

E. DEVOLUTION OF CONTROL AND DIRECTION

Devolution planning should support overall continuity planning and addresses the full spectrum of all-hazard/threat emergency events that may render an organization's leadership or staff unavailable to support, or incapable of supporting the execution of the organization's essential functions from either its primary operating facility or continuity facility. Sample text for this section is provided below. ***Note:*** *Organizations that use a devolution plan that is separate from their continuity plan should include baseline information from their devolution plan in this section including references to where this information is located in their devolution plan.*

The **[Organization Name]** is prepared to transfer all of its essential functions and responsibilities to personnel at a different location should emergency events render leadership or staff unavailable to support the execution of **[Organization Name]**'s essential functions. If deployment of continuity personnel is not feasible due to the unavailability of personnel, temporary leadership of the **[Organization Name]** will devolve to **[insert office name and location]**.

The **[Insert office/title]** maintains responsibility for ensuring the currency of the **[Organization Name]** devolution plan. The **[Organization Name]** devolution plan:

(1) Includes the elements of a viable continuity capability: program plans and procedures, budgeting and acquisitions, essential functions, orders of succession and delegations of authority specific to the devolution site, interoperable communications, Essential Records management, staff, TT&E, and reconstitution. The **[Organization Name]** devolution plan is located at **[insert location, insert devolution plan below, or insert the applicable plan appendix for devolution]**.

(2) Identifies prioritized essential functions, defines tasks that support those essential functions, and determines the necessary resources to facilitate those functions. The list of prioritized essential functions for devolution is found at **[insert location]**.

(3) Includes a roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and have the authority to perform essential functions and activities when the devolution option of the Continuity Plan is activated. The devolution personnel roster is found at **[insert location]**.

(4) Identifies what would likely activate or "trigger" the devolution option and specifies how and when control and direction of the **[Organization Name]** operations will be transferred to and from the devolution site. Devolution activation protocols or "triggers" are found at **[insert location or insert below]**.

(5) Lists or references the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of and performance of essential functions at the devolution site. The list of necessary resources for devolution is found at **[insert location]**.

(6) Establishes and maintains reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. The **[insert office/title]** is responsible for acquiring resources during a devolution situation. Acquisition processes and procedures are found **[insert location]**.

(7) Establishes and maintains a capability to restore or reconstitute the **[Organization Name]** authorities to their pre-event status upon termination of devolution.

[Organization Name] conducts and documents annual training of devolution staff and a biennial exercise to ensure essential functions are capable of being performed during devolution. This documentation includes the dates of all TT&E events and names and titles of participating staff. The **[Organization Name]** devolution TT&E documentation is maintained by **[insert office/title]** and is found at **[insert location]**. Further, the **[Organization Name]** CAP supports the devolution program. The **[Organization Name]** CAP is maintained by **[insert office/title]** and CAP documentation is found at **[insert location]**.

For additional information on developing a devolution plan, see CGC 1, Annex L, Devolution of Control and Direction. A template can be found on-line at:
http://www.fema.gov/planning-templates

F. PROCEDURES FOR DEVOLVING ESSENTIAL FUNCTIONS TO DEVOLUTION EMERGENCY RELOCATION GROUP (DERG) AT DEVOLUTION SITE

This section should identify those procedures and instructions on how the organization will devolve functions to the DERG at the Devolution site and detail the transition of responsibilities to the deployed ERG or DERG. Sample text for this section includes:

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

VII. ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

This section should include additional delineation of continuity responsibilities of each key staff position. Sample text for this section is provided below.

Key staff positions within the **[Organization Name]**, to include individual continuity members, those identified in the orders of succession and delegation of authority, the **[Organization Name]** Continuity Coordinator, continuity managers, and others possess additional continuity responsibilities. The responsibilities of these key continuity personnel are delineated **[insert location]**.

SAMPLE

The following table shows examples of some continuity responsibilities.

Position	Responsibilities
Director	• Provide strategic leadership and overarching policy direction for the continuity program • Implement the Continuity Plan when necessary, or when directed by a higher authority • Update and promulgate orders of succession and delegations of authority • Ensure adequate funding is available for emergency operations • Ensure all organization components participate in continuity exercises • Update Continuity Plan annually
Communications Manager	• Update telephone rosters monthly • Conduct alert and notification tests
Records Manager	• Review status of Essential Records, files, and databases
Training Manager	• Develop and lead Continuity training • Plan Continuity exercises
Continuity Personnel	• Be prepared to deploy and support organization essential functions in the event of Continuity Plan implementation • Provide current contact information to manager • Be familiar with continuity planning and know individual roles and responsibilities in the event of Continuity Plan activation • Participate in continuity training and exercises as directed • Have a telework agreement for this position, if applicable

VIII. DIRECTION, CONTROL, AND COORDINATION

This section should describe the framework for all devolution of control, direction, and coordination activities. Sample text for this section is provided below.

During activation of the Continuity Plan, the **[Organization Head]** maintains responsibility for control and direction of the **[Organization Name]**. Should the **[Organization Head]** become unavailable or incapacitated; the organization will follow the directions laid out in **[Annex reference,** *Orders of Succession***]** and **[Annex reference,** *Delegations of Authority***]**.

The contents and procedures laid forth in this Continuity Plan are consistent with the direction found in CGC 1 and the plan is reviewed and vetted by **[insert internal organizations, such as Regional components, subcomponents, or organization headquarters]** to ensure vertical integration within the **[Organization Name]**.

IX. DISASTER INTELLIGENCE

This section should describe the required critical or essential information common to all continuity events. In general terms, it should identify the type of information needed, where it will come from, who will use it, how it will be shared, the format it will be provided in, and when (time) the information will be needed. Sample text for this section is provided below.

During a continuity event, the **[Organization Name]** will require the collection and dissemination of critical information. While specific incidents may create additional or specialized reporting requirements, the following table lists examples of the information that would be collected and reported regardless of incident type.

SAMPLE

The following table shows examples of some disaster intelligence collection requirements.

Information Element	Specific Requirement	Responsible Element	Deliverables	When Needed	Distribution
Personnel Accountability	Account for all ERG and non-ERG employees Account for all contract personnel	Human Resources Division	Reports Briefings	Status updates hourly following Plan activation	**[Organization Head]**
Operational Status	Percent of ERG personnel arrived at site Ability to conduct each essential function	Continuity Manager Division Representatives	Situation briefings Situation reports	No later than 6 hours after plan activation, then hourly	**[Organization Head]**
Hazard Information	Threat details specific to the continuity facility	Response coordination center or emergency operations center	Situation briefings Situation reports	Two times per day at shift change	**[All Organization component/sub-component heads]**

X. COMMUNICATIONS

This section should address communications systems needed to ensure connectivity during crisis and disaster conditions. The ability of an organization to execute its essential functions at its continuity facility(ies) depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key organization leadership personnel, internal organization elements, other organizations, critical customers, and the public, during crisis and disaster conditions. Sample text for this section is provided below.

The **[Organization Name]** has identified available and redundant critical communications systems that are located at the primary operating facility and continuity facility. Further, the **[Organization Name]** maintains fully capable continuity communications that support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. In addition, the **[Organization Name]** maintains communications equipment for use by employees with disabilities and hearing impairment.

All **[Organization Name]**'s necessary and required communications and IT capabilities should be operational within 12 hours of continuity activation.

Additional detailed information on the **[Organization Name]**'s communications systems and requirements is found in **[Annex reference,** *Continuity Communications***].**

XI. BUDGETING AND ACQUISITION OF RESOURCES

The Budgeting and Acquisition section should identify the people, communications, facilities, infrastructure, and transportation requirements necessary to the successful implementation and management of an organization's continuity program. In addition, the organization should identify and provide funding and specific budgetary guidance and requirements for all levels of the organization, including subordinate components and state offices. This section aligns with the Administration, Finance, and Logistics section of the Comprehensive Preparedness Guide 101. Sample text for this section is provided below.

The **[Organization Name]** budgets for and acquires those resources and capabilities essential to continuity operations. A copy of the continuity budget is found at **[insert location, office]**. Within this budget, the **[Organization Name]** budgets for continuity resources and capabilities in accordance with the **[Organization policy title(s)]** and other applicable directives and provides for the acquisition of those resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.

As part of the budget process, the **[Organization Name]** uses a risk management methodology to identify, prioritize, and justify the allocation of budgetary resources. The

risk management methodology used is **[insert methodology here]** and a copy of the risk management documents can be found **[insert location, office]**.

The **[Organization Name]** integrates the continuity budget with its long-term strategic plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the strategic plan is found at **[insert location]**.

For those contracts vital to the support of organization essential functions, the **[Organization Name]** has ensured contractor statements of work include the provision to provide staffing, services, and resources during emergency conditions. A list of vital contracts is found at **[insert location]** and maintained by the **[insert office/title]**. During an emergency situation, the **[insert office/title]** is responsible for oversight and handling of emergency work by contractors.

For additional information on budgeting and acquisition of resources, see CGC 1, Annex C.

XII. MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN

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

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

XIII. PLAN DEVELOPMENT AND MAINTENANCE

This section should describe the process the organization uses to maintain the currency of the Continuity Plan. It identifies who is responsible for plan currency, how often the plan will be reviewed and updated, and describes the coordination process. Sample text for this section is provided below.

The **[Organization Name, office, title]** is responsible for maintaining the **[Organization Name]** Continuity Plan.

The Continuity Plan, **[Organization Name]** essential functions, and supporting activities, will be reviewed by the **[insert office name]** and updated annually from the date of publication as part of the maintenance of continuity plans and procedures. The **[Office Name]** is responsible for the annual plan review and update. In addition, the plan will be updated or modified when there are significant organizational, procedural changes, or other events that impact continuity processes or procedures. Comments or suggestions for improving this plan may be provided to the **[Office Name]**.

XIV. AUTHORITIES AND REFERENCES

The key authorities and references on which the organization's continuity plan is based should be listed here. Additional references maybe listed in Annex B. An example of typical authorities and references are listed below.

FUNCTIONAL ANNEXES

The functional annexes should add specific information and direction to the basic plan. These annexes should clearly describe the policies, processes, roles, and responsibilities that organizations carry out before, during, and after any emergency. While the basic plan provides overarching information relevant to the Continuity Plan as a whole, the annexes focus on specific responsibilities, tasks, and operational actions that pertain to the elements of a viable continuity plan and program according to CGC 1 and 2. These annexes also establish preparedness targets (e.g., training, exercises, equipment checks, and maintenance) that facilitate achieving function-related goals and objectives during emergencies and disasters.

ANNEX IMPLEMENTING INSTRUCTIONS

Implementing instructions may be included as attachments or referenced. Annex Implementing Instructions serve to provide additional information on sections presented in the Continuity Plan. Potential instructions include:

Operational Checklists: A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task.

Sample operational checklists may include:

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

ANNEX A. FUNCTIONS

The essential functions section should include a list of the organization's prioritized Mission Essential Functions (MEFs). The Continuity Plan should identify the components, processes, and requirements that ensure the continued performance of the organization's essential functions. CGC 2 describes the process of identifying and prioritizing mission essential functions, conducting a business process analysis, conducting a business impact analysis, and developing risk mitigation strategies. Sample text for this section is provided below.

IDENTIFICATION OF ESSENTIAL FUNCTIONS

The **[Organization Name]** has completed the MEF process as identified in CGC 2 to identify those functions that the **[Organization Name]** must continue.

State, Territorial, and Tribal Essential Functions

The **[Organization Name]'s** MEFs are based on its mission and role in support of the continued performance of State, territorial, or tribal essential functions (STTEFs). These STEFFs, as listed below, represent responsibilities of State, territorial, and tribal government leaders to ensure the well being of their communities.

Government leadership is encouraged to establish STTEFs that describe the overarching responsibilities of leaders of State, territorial, and tribal government to ensure the well being of their communities. The STEFFs listed below, provided as a planning tool, were developed in cooperation with States, territories, and tribes to capture the broad responsibilities of STTL leaders.

SAMPLE

The following table is an excerpt from CGC 2 and shows an example of State, Territorial, and Tribal Essential Functions.

State, Territorial, Tribal Essential Functions (STTEFs)
STTEF 1: Maintain Continuity of Government. Focus: Ensure the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management operations; situational awareness; personnel accountability; and functional and judicial organizations (as necessary). Each State, territory and tribe should identify the various subordinate mission essential functions necessary to accomplish this overarching mission. (This STTEF aligns with NEF 1)
STTEF 2: Provide Visible Leadership. Focus: Visible demonstration of leaders effectively dealing with the crisis and leading the response efforts: this assists in providing and monitoring the threat and confidence of established government organizations and the public. (This STTEF aligns with NEF 2)
STTEF 3: Reserved. STTEF 3 is not defined as there is no parallel to NEF 3: Employ the military, including implementing military operations to defend the Nation. While the States, territories, and tribes support this function, the Federal government is solely responsible for performing this function.
STTEF 4: Maintain Effective Relationships with Neighbors and Partners. Focus: Maintain external relationships and agreements with a wide variety of entities; this may vary considerably across the various States, territories, and tribes. This includes communications and interactions, as necessary during a crisis, with critical partners and organizations, including the Federal Government; other State, Territorial, and tribal governments, private sector and non-profit organizations; and may include foreign governments and organizations in some cases. (This STTEF aligns with NEF 4, however, it is recognized that the primary foreign relations responsibility lies with the Federal government.)
STTEF 5: Maintain Law and Order. Focus: Maintain civil order and public safety (protecting people and property, and the rule of law); ensuring basic civil rights, preventing crime, and protecting critical infrastructure. This involves State, territorial, and tribal governments and local law enforcement, and includes calling up of National Guard units to support these efforts. (This STTEF aligns with NEF 5)
STTEF 6: Provide Emergency Services. Focus: Provide critical emergency services, including emergency management, police, fire, ambulance, medical, search and rescue, hazmat, shelters, emergency food services, recovery operations, etc. (This STTEF aligns with NEF 6)
STTEF 7: Maintain Economic Stability. Focus: Manage the overall economy of the State, territorial, or tribal governments. While the Federal government is responsible for protecting and stabilizing the National economy and regulating the currency, State, territorial, and tribal governments have a responsibility to manage their jurisdiction's finances and ensure solvency. During a crisis affecting the economy, maintaining confidence in economic and financial institutions is critical at every level of government. (This STTEF aligns with NEF 7)
STTEF 8: Provide Basic Essential Services. Focus: Ensure provision of basic services, including water, power, health care, communications, transportation services, sanitation services, environmental protection, commerce, etc. These are services that must continue or be restored quickly to provide for basic needs. Other less critical services (recreation, education) may be delayed or deferred at the discretion of the State, territorial, and tribal governments; the focus is on providing those critical services necessary to sustain the population and facilitate the return to normalcy. (This STTEF aligns with NEF 8)

Organization Mission Essential Functions

Each organization should identify and prioritize their organizational MEFs and ensure the continued performance of those MEFs. In general, the process for identifying MEFs at every level of government is the same and is described in detail in CGC 2. Sample text for this section is provided below.

Organization MEFs are a limited set of their organizational functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. Using CGC 2 guidance, the **[Organization Name]** implemented the MEF identification process to identify and prioritize their organizational MEFs. The **[Organization Name]**'s MEFs, as validated and approved by the **[enter organization approving official title],** are listed below in priority order.

1. **[Insert organizational MEF here].**
2. **[Insert organizational MEF here].**
3. **[Insert organizational MEF here].**
4. **[Insert organizational MEF here].**
5. **[Insert organizational MEF here].**
6. **[Insert organizational MEF here].**

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX B. IDENTIFICATION OF CONTINUITY PERSONNEL

Once MEFs are identified, the organization should determine the personnel positions that are fully equipped and authorized to perform these functions. Position titles should be used rather than names since personnel change, but titles generally do not. Once these positions are identified, the organization should establish and maintain a POC roster of trained continuity personnel attached to the applicable positions. Rosters, at a minimum, should include names and home, work, and cellular telephone numbers, as applicable. In addition, organizations should identify replacement personnel and augmentees, as necessary. Organizations should consider maintaining this roster separate from the Continuity Plan or as an annex due to the need for constant revision and for privacy concerns. Sample text for this section is provided below.

In order to continue its essential functions, the **[Organization Name]** has determined the staff positions necessary to relocate under Continuity Plan activation. A copy of the current roster is found at **[insert location]**. The **[Insert office/title]** is responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

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

- The predetermined essential functions that must be performed, regardless of the operational status of the **[Organization Name]**'s primary operating facility
- The member's knowledge and expertise in performing these essential functions
- The member's ability to rapidly deploy to the relocation site in an emergency situation

SAMPLE

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

Function	Title/ Position	Name	Telephone Numbers	Additional Information
Function #1: Approve and oversee cleanup of contaminated sites.	Division Head, Enforcement and Remediation Division	John Smith	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	Alternate: Deputy Division Head, Enforcement and Remediation Division	*Jane Doe*	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses
	Chief,	Sally Dune	Home: (###) ###-	Insert other

Function	Title/ Position	Name	Telephone Numbers	Additional Information
	Enforcement Branch		#### Work: (###) ###-#### Cell: (###) ###-####	organization-required information, i.e. duty station and addresses
	Alternate: Deputy Chief, Enforcement Branch	*Jim Rich*	Home: (###) ###-#### Work: (###) ###-#### Cell: (###) ###-####	Insert other organization-required information, i.e. duty station and addresses

For additional information on mission essential functions, see CGC 1, Annex D and CGC 2, Annex A. See CGC 1, Annex J for additional information on continuity personnel rosters.

ANNEX C. ESSENTIAL RECORDS MANAGEMENT

This section should address the Essential Records management requirements needed to support MEFs during a continuity event. The identification, protection, and ready availability of Essential Records, databases, and hard copy documents needed to support MEFs under the full spectrum of all-hazard/threat emergencies are critical elements of a successful continuity plan and program. Sample text for this section is provided below.

"Essential Records" refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support MEFs during a continuity event. **[Organization Name]** has incorporated its Essential Records program into the overall continuity program, plans, and procedures.

The **[Organization Name]**'s Essential Records program incorporates into the overall continuity plan with a clear authority to include:

- Policies
- Authorities
- Procedures
- The written designation of the **[Organization Name]** Essential Records manager

The **[Organization Name]**'s official Essential Records program:

- Identifies and protects those records that specify how the organization will operate in an emergency or disaster
- Identifies those records necessary to the organization's continuing operations
- Identifies those records needed to protect the legal and financial rights of the organization

Within 12 hours of activation, continuity personnel at the continuity facility for the **[Organization Name]** should have access to the appropriate media for accessing Essential Records, including:

- A local area network
- Electronic versions of Essential Records
- Supporting information systems and data
- Internal and external email and email archives
- Paper copies of Essential Records
- **[Insert any other media here]**

Identifying Essential Records

The **[Organization Name]** has identified the following as vital to its operations, and has assigned responsibility for those records to the **[insert personnel or office here]**, which includes a combination of continuity personnel, personnel in the **[insert division/office title here]**, and records management personnel.

[Organization Name] maintains a complete inventory of Essential Records, along with the locations of and instructions on accessing those records. These records are located at **[insert location/ office]**. This inventory will be maintained at a back-up/offsite location located at **[insert location(s) here]** by **[insert office]** to ensure continuity if the primary operating facility is damaged, destroyed, or unavailable.

The [Insert office] developed and maintains an Essential Records plan packet or collection located at **[insert location/office]**. The packet or collection includes:

- A paper copy or electronic list of the **[Organization Name]** key organization personnel and continuity personnel with up-to-date telephone numbers
- A Essential Records inventory with the precise locations of Essential Records prepared by the **[insert office]**
- Updates to the Essential Records
- Necessary keys or access codes
- Listing of the access requirements and sources of equipment necessary to access the records
- The **[Organization Name]** continuity facility locations
- Lists of records recovery experts and vendors provided by the **[insert office]** and located at **[insert location]**
- A copy of the **[Organization Name]** continuity plans
- **[Insert any other documents included in the packet here]**

For the above items, the **[insert office]** is responsible for providing access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines). These requirements and lists are found at the **[insert location/office]**.

This packet will be reviewed annually by the **[insert office]** with the date and names of the personnel conducting the review documented in writing to ensure that the information is current. A copy will be securely maintained at the **[Organization Name]** continuity facilities and **[insert any other locations here]**, so it is easily accessible to appropriate personnel when needed.

Protecting Essential Records

The protection of Essential Records is essential to ensuring the records are available during a continuity event, thus enabling an organization to perform their MEFs. The **[Organization Name]** has conducted an Essential Records and database risk assessment to:

- Identify the risks involved if Essential Records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed
- Identify offsite storage locations and requirements

- Determine if alternative storage media are available
- Determine requirements to duplicate records and provide alternate storage locations to provide readily available Essential Records under all conditions

The Essential Records and database risk assessment was performed by the **[insert office]** and is located at **[insert location]**.

Appropriate protections for Essential Records will be provided by the **[insert office]** and will include dispersing those records to other organization locations or storing those records offsite. Other protections include **[insert additional protections here, including multiple redundant media for storage]**.

When determining and selecting protection methods, the **[Organization Name]** takes into account the specific protections needed by different kinds of storage media. Microforms, paper photographs, computer disks, tapes, and drives all require different methods of protection. Some of these media also may require equipment to facilitate access.

Training and Maintenance

The **[Organization Name]** Essential Records program includes a training program conducted by the **[insert office]** for all staff, to include periodic briefings to managers about the Essential Records program and its relationship to their Essential Records and business needs. The **[Organization Name]** staff training focuses on identifying, inventorying, protecting, storing, accessing, and updating the Essential Records. Training records for Essential Records are maintained by the **[insert office]** and are found at **[insert location]**.

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

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

SAMPLE

The following table shows examples of Essential Records, files, and databases.

Essential Record, File, or Database	Support to Essential Function	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Continuity Facility	Hand Carried to Continuity Facility	Multiple Storage Location(s) Y/N	Maintenance Frequency
Mapping Database	Function #1	Electronic	X		Y	Monthly
Licensed Spill Cleanup Contractors List	Function #1 & 3	Hardcopy		X	N	Quarterly
Regional Dams List	Function #2	Hardcopy		X	N	Annually
Pollution/Chemical Incident Database	Function #3 & 4	Electronic	X		N	Monthly
Public and Private Sewage System Records	Function #3, 4, & 5	Electronic	X		Y	Quarterly

For additional information on Essential Records management, see CGC 1, Annex I.

ANNEX D. CONTINUITY FACILITIES

All organizations should identify and maintain at least one continuity facility, which could include alternate uses of existing facilities or virtual office options, for the relocation of a limited number of the organization's key leaders and staff, located where the potential disruption of the organization's ability to initiate and sustain operations is minimized. This section should explain the significance of identifying a continuity facility, the requirements for determining a continuity facility, and the advantages and disadvantages of each location. Sample text for this section is provided below.

Continuity Facility Information

The **[Organization Name]** has designated continuity facility(ies) as part of its Continuity Plan and has prepared continuity personnel for the possibility of unannounced relocation to the site(s) to continue performance of essential functions

The **[Organization Name] [does/does not]** maintain MOAs/MOUs and reviews the MOAs/MOUs annually, as applicable.

If MOAs/MOUs are necessary, include the following in your plan: An MOA/MOU is necessary because the **[Organization Name]** is **[list reasons, e.g. co-located with another agency]**. A copy of the MOA/MOU is found at **[insert location]** and maintained by the **[insert office name]**.

The **[Organization Name**] continuity facility is located at **[facility name and address**]. A map of the surrounding area, including directions and route from the primary operating facility, is located at **[below/list location]**. Additional facility details are as follows:

(1) This facility is **[rented/owned]** by the **[Organization Name]**.

(2) [Important contact information for the site, including security, medical, and on-site personnel]

(3) **[Security and access requirements]**

(4) [Medical support at or near the site]

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

The **[Organization Name]** continuity facility(ies) provide the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

(1) Space and equipment, including computer equipment and software. The continuity facility is able to accommodate **[insert number]** personnel. Facility floor plans, equipment inventory, and **[insert other applicable documents]** are found at **[insert location]**.

(2) Capability to perform MEFs within 12 hours of plan activation for up to 30 days or until normal operations can be resumed.

(3) Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[insert location]** from the **[insert office or personnel name]**.

(4) Consideration for health, safety, security, and emotional well-being of personnel. Considerations available at the continuity facility include **[insert considerations, such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security]**.

(5) Interoperable communications for effective interaction. Additional information on continuity communications is found **[insert location]** in this plan.

(6) Capabilities to access and use Essential Records. Additional information on accessing Essential Records is found at **[insert location]** in this plan.

(7) Systems and configurations that are used in daily activities. IT support at the continuity facility is **[insert access to IT support]**. Details on the systems and configurations are available at **[insert location]** from the **[insert office or personnel name]**.

(8) Emergency/back-up power capability. Details on the power capability are available at **[insert location]** from the **[insert office or personnel name]**.

Repeat this information for each continuity facility used by your organization.

Continuity Facility Logistics

The **[Organization Name]**'s continuity facilities maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification. These site preparation and activation plans are **[detailed below or insert document name and location]**.

The **[Organization Name]** maintains a transportation support plan that describes procedures for no-warning and with-warning events.

- During a no-warning event, advance team and continuity personnel are transported to the continuity facility via **[enter means of transportation, rally points, means of notification, back-up transportation methods and any other necessary information]**.
- During a with-warning event, advance team and continuity personnel are transported to the continuity facility via **[enter means of transportation, rally points, means of notification, back-up transportation methods and any other necessary information]**.

The **[Organization Name]** has addressed the need for housing to support continuity personnel at or near the continuity facility by **[insert housing options, such as on-site housing, a list of nearby hotels, and MOA/MOUs with nearby lodging]**.

Continuity Facility Orientation

The **[Organization Name]** regularly familiarizes its continuity personnel with its continuity facilities. The **[Organization Name]** accomplishes this orientation through **[insert means of orientation, such as deployment exercises, orientation sessions at the site, and briefings]**. This familiarization training is reflected in organization training records located at **[insert location]**.

Further, the **[Organization Name]** annually trains and prepares its ERG personnel for the possibility of an unannounced relocation to all continuity facilities. This training is reflected in organization training records located at **[insert location]**.

For additional information on continuity facilities, see CGC 1, Annex G.

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX E. CONTINUITY COMMUNICATIONS

This section should address communications systems needed to ensure connectivity during crisis and disaster conditions. The ability of an organization to execute its essential functions at its continuity facility depends on the identification, availability, and redundancy of critical communications and IT systems to support connectivity among key State, territorial, tribal, and local leadership personnel, internal organization elements, other organizations, critical customers, and the public during crisis and disaster conditions. Sample text for this section is provided below.

The **[Organization Name]** has identified available and redundant critical communication systems at the continuity facility. Further, the **[Organization Name]** maintains fully capable continuity communications that could support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. These systems provide the ability to communicate within and outside the organization and are found at **[insert location]**.

SAMPLE

The following table shows an example of tracking modes of communication systems that support an organization's essential functions.

Communication System	Support to Essential Function	Current Provider	Specification	Alternate Provider	Special Notes
Non-secure Phones					
Secure Phones					
Fax Lines					
Cellular Phones					
Satellite					
Pagers					
E-mail					
Internet Access					
Data Lines					
Two-way Radios					
GETS Cards					
[Insert other options here]					

All **[Organization Name]**'s necessary and required communications and IT capabilities should be operational within 12 hours of activation.

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

For additional information on continuity communications, see CGC 1, Annex H.

ANNEX F. LEADERSHIP AND STAFF

This section should outline the plans, procedures, and policies to safeguard and protect leadership and staff, including orders of succession, delegations of authority, and human resources. The National Continuity Policy Implementation Plan lists leadership and staff as two of the four key pillars that enable organizations to perform its essential functions.

ORDERS OF SUCCESSION

This section should identify current orders of succession to the organization head and key positions, such as administrators, directors, and key managers. Revisions should be distributed to agency personnel as changes occur. Sample text for this section is provided below.

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority. The **[Organization Name**] has identified successors for the positions of **[insert leadership positions requiring orders of succession, including the organization head and other key positions]**. A copy of these orders of succession is found at **[insert location]**. The **[Insert office/title]** is responsible for ensuring orders of succession are up-to-date. When changes occur, the **[insert office/title]** distributes the changes to **[insert offices/groups]** by **[insert method of distribution]**.

The **[Organization Name]**'s orders of succession are:

- At least three positions deep, where possible, ensuring sufficient depth to ensure the **[Organization Name]**'s ability to manage and direct its essential functions and operations
- Include devolution counterparts, where applicable
- Geographically dispersed, where feasible
- Described by positions or titles, rather than by names of individuals holding those offices
- Reviewed by the organization's legal department as changes occur
- Included as a essential record, with copies accessible and/or available at both the primary operating facility and continuity facilities at **[insert locations]**

SAMPLE

The following table shows the order of succession for the Director of the Bureau of Water Management.

Position	Designated Successors
Director, Bureau of Water	1. Deputy Director, Bureau of Water Management

Position	Designated Successors
Management	2. Division Head, Enforcement and Remediation Division
	3. Division Head, Standards and Planning Division

In addition, each order of succession identifies the rules and procedures designated officials should follow when facing issues of succession to office during continuity events and reference applicable laws and organization policies.

- **[List any temporal, geographical, and/or organizational limitations to the authorities in the orders of succession here]**

In the event of a change in leadership status, the **[Organization Name]** must notify the successors, as well as internal and external stakeholders. In the event the **[Organization Name]** leadership becomes unreachable or incapable of performing their authorized legal duties, roles, and responsibilities, the **[insert office/title]** will initiate a notification of the next successor in line. **[Insert additional methods and procedures of notification here]**. The **[Insert office/title]** will use the following procedures to notify internal and external stakeholders of the change in leadership: **[Insert notification procedures here]**.

The **[Organization Name]** training records document the annual successor training for all personnel who assume the authority and responsibility of the organization's leadership to include briefing successors to the position of the **[Organization Head]** on their responsibilities and duties as a successor. Methods of successor training include **[insert training methods here]**. This training is reflected in the **[Organization Name]** training records located at **[insert location]**.

For additional information on succession, see CGC 1, Annex E.

DELEGATIONS OF AUTHORITY

This section should identify, by position, the legal authority for individuals to make key policy decisions during a continuity event. An organization delegation of authority should describe explicitly the authority of an official so designated to exercise organization direction. Sample text for this section is provided below.

Generally, the **[Organization Name]** pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Pre-determined delegations of authority may be particularly important in a devolution scenario.

The **[Organization Name]** has identified the following delegations of authority:

- Orderly succession of officials to the position of **[Organization Head]** in the case of the **[Organization Head]**'s absence, a vacancy at that office, or the inability of the **[Organization Head]** to act during an emergency or national security emergency. The delegation of authority for the **[Organization Head]** is found in the Hazard Specific Appendices.

- **[Insert additional delegations of authority here]**

The **[Organization Name]**'s delegations of authorities are found at the continuity facility and at **[insert location]** and:

(1) Are included as Essential Records

(2) Are written in accordance with applicable laws and organization policy ensuring that the organization's MEFs are performed

(3) Outline explicitly in a statement the authority of an official to re-delegate functions and activities, as appropriate

(4) Delineate the limits of and any exceptions to the authority and accountability for officials

(5) Define the circumstances, to include a devolution situation if applicable, under which delegations of authorities would take effect and would be terminated

The **[Organization Name]** has informed those officials who might be expected to assume authorities during a continuity situation. Documentation that this has occurred is found at **[insert location]** and at the continuity facility. Further, the **[Organization Name]** has trained those officials who might be expected to assume authorities during a continuity situation at least annually for all pre-delegated authorities for making policy determinations and all levels using **[insert training methods here]**. This training is reflected in agency training records located at **[insert location]**.

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

DELEGATION OF AUTHORITY
AND SUCCESSION FOR THE
[Insert title of organization head]

PURPOSE
This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at the **[Organization Name]** to the Office of the **[insert title of organization head]** in case of the **[Organization Head]**'s absence, a vacancy at that office, or the inability of the **[Organization Head]** to act during a disaster or national security emergency.

DELEGATION
I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the **[insert title of organization head]**, in case of my absence, inability to perform, or vacancy of the office, and until that condition ceases.

1. **[Insert order of succession here]**

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the **[insert title of organization head]**, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the **[insert title of organization head]** shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible. Persons appointed on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

AUTHORITIES
[Insert title of organization policy or directive]
[Insert title of organization policy or directive]
OFFICE OF PRIMARY INTEREST
The Office of the **[insert title of organization head]** is the office of primary interest in this delegation.

CANCELLATION

[Insert previous delegation of authority] to Office of the **[insert title of organization head]** is hereby rescinded.

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

[Legal Counsel signs here]
[Enter Legal Counsel's name here]
[Enter Legal Counsel's title here]
[Enter Organization Name here]
[**Enter date here]**

For additional information on delegations of authority, see CGC 1, Annex F.

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX G. HUMAN RESOURCES

This section should focus on the organization's continuity personnel and all other special categories of employees who have not been designated as continuity personnel. This section should concentrate on three areas: Continuity Personnel, All Staff, and Human Resources Considerations. Sample text for this section is provided below.

Continuity Personnel

People are critical to the operations of any organization. Selecting the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated by the **[Organization Name]** to perform assigned response duties. One of these categories is continuity personnel. In respect to continuity personnel, the **[Organization Name]** has:

- Identified and designated those positions and personnel they judge to be critical to organization operations in any given emergency situation as continuity personnel. A roster of continuity positions is maintained by the **[insert office/title]** and is found at **[insert location]**
- Identified and documented its continuity personnel. Continuity personnel possess the skills necessary to perform essential functions and supporting tasks. A roster of continuity personnel is maintained by **[insert office/title]** and is found at **[insert location]**
- Officially informed all continuity personnel of their roles or designations by providing documentation in the form of **[insert type of documentation here]** to ensure that continuity personnel know and accept their roles and responsibilities. Copies of this documentation is maintained by the **[insert office/title]** and found at **[insert location]**
- Ensured continuity personnel participate in the organization's continuity TT&E program, as reflected in training records. Training records are maintained by the **[insert office/title]** and found at **[insert location]**
- Provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event using **[insert methods of providing guidance here]**. Copies of this guidance is maintained by the **[insert office/title]** and found at **[insert location]**

All Staff

It is important that the **[Organization Name]** keeps all staff, especially individuals not identified as continuity personnel, informed and accounted for during a continuity event. The **[Organization Name]** has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

- The **[Organization Name]**'s employees are expected to remain in contact with the **[insert office/title, such as supervisors]** during any facility closure or relocation

situation. **[Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation]**

- The **[Organization Name]** ensures staff are aware of and familiar with Human Resources guidance in order to continue essential functions during an emergency. The **[Organization Name]** uses the following methods to increase awareness: **[Insert methods here, such as utilizing an intranet website or employee orientation briefing]**.

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

An event that requires the activation of the Continuity Plan may personally affect the **[Organization Name]** staff. Therefore, the **[insert office]** has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special Human Resources concerns following a catastrophic disaster. These provisions and procedures are found at **[insert location]**.

Human Resources Considerations

The **[Organization Name]** continuity program, plans, and procedures incorporate existing organization-specific guidance and direction for human resources management, including guidance on pay, leave/time off, work scheduling, benefits, telework, hiring, authorities, and flexibilities. The **[insert office]** has the responsibility for the **[Organization Name]** human resources issues. A copy of these policies and guidance is found **[insert location]**.

The **[Organization Name]** Continuity Coordinator and Continuity Manager work closely with the **[insert appropriate Human Resources office/title here]** to resolve human resources issues related to a continuity event. The **[Insert office/title]** serves as the **[Organization Name]** Human Resources liaison to work with the Continuity Coordinator or Continuity Manager when developing or updating the organization's emergency plans.

The **[Organization Name]** has developed organization-specific guidance and direction for continuity personnel on human resources issues. This guidance is integrated with Human Resources procedures for its facility, geographic region, and the Office of Personnel Management or similar organization. This guidance is maintained by the **[insert office/title]** and found at **[insert location]**. The **[Organization Name]** has issued continuity guidance for human resources on the following issues:

- Additional Staffing: **[Insert guidance here or location of guidance]**

- Work Schedules and Leave/Time Off: **[Insert guidance here or location of guidance]**
- Employee Assistance Program: **[Insert guidance here or location of guidance]**
- Special Needs Employees: **[Insert guidance here or location of guidance]**
- Telework: **[Insert guidance here or location of guidance]**
- Benefits: **[Insert guidance here or location of guidance]**
- Premium and Annual Pay Limitations: **[Insert guidance here or location of guidance]**
- **[Insert additional topics here]**

Further, the **[insert office/title]** communicates Human Resources guidance for emergencies (pay, leave/time off, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency. The process for communicating this information is as follows: **[Insert communication methods and processes here]**.

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

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX H. TEST, TRAINING, AND EXERCISES PROGRAM

This section should focus on the organization's TT&E program. All organizations should develop and maintain a continuity TT&E program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continued performance of their MEFs. Sample text for this section is provided below.

The **[Organization Name]** has established an effective TT&E program to support the organization's preparedness and validate the continuity capabilities, program, and ability to perform essential functions during any emergency. The testing, training, and exercising of continuity capabilities is essential to demonstrating, assessing, and improving the **[Organization Name]**'s ability to execute the continuity program, plans, and procedures.

- Training familiarizes continuity personnel with their roles and responsibilities in support of the performance of an organization's essential functions during a continuity event.
- Tests and exercises serve to assess, validate, or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event. Periodic testing also ensures that equipment and procedures are kept in a constant state of readiness.

In accordance with CGC 1 guidance, the **[Organization Name]** performs TT&E events at regular intervals, as shown in the table below.

Note: In your organization's plan, change the checkmarks to the actual dates of the TT&E event for your organization.

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Test and validate equipment to ensure internal and external interoperability and viability of communications systems	✓			
Test alert, notification, and activation procedures for all continuity personnel		✓		
Test primary and back-up infrastructure systems and services at continuity facilities			✓	
Test capabilities to perform essential functions			✓	
Test plans for recovering Essential Records, critical information systems, services, and data			✓	
Test and exercise of required physical security capabilities at continuity facilities			✓	
Test internal and external interdependencies with respect to performance of essential functions			✓	

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Train continuity personnel on roles and responsibilities			✓	
Conduct continuity awareness briefings or orientation for the entire workforce			✓	
Train organization's leadership on essential functions			✓	
Train personnel on all reconstitution plans and procedures			✓	
Allow opportunity for continuity personnel to demonstrate familiarity with continuity plans and procedures and demonstrate organization's capability to continue essential functions			✓	
Conduct exercise that incorporates the deliberate and preplanned movement of continuity personnel to continuity facilities			✓	
Conduct assessment of organization's continuity TT&E programs and continuity plans and programs			✓	
Report findings of all annual assessments to the **[insert office/position title]**			✓	
Conduct successor training for all organization personnel who assume the authority and responsibility of the organization's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation			✓	
Train on the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during a continuity situation for all staff involved in the Essential Records program			✓	
Test capabilities for protecting classified and unclassified Essential Records and for providing access to them from the continuity facility			✓	
Train on an organization's devolution option for continuity, addressing how the organization will identify and conduct its essential functions during an increased threat situation or in the aftermath of a catastrophic emergency			✓	
Conduct personnel briefings on continuity plans that involve using or relocating to continuity facilities, existing facilities, or virtual offices				✓
Allow opportunity to demonstrate intra- and interagency continuity communications capability				✓

Continuity TT&E Requirements	Monthly	Quarterly	Annually	As Required
Allow opportunity to demonstrate back-up data and records required for supporting essential functions at continuity facilities are sufficient, complete, and current				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities				✓
Allow opportunity for continuity personnel to demonstrate their familiarity with agency devolution procedures				✓

The **[Organization Name]** formally documents and reports all conducted continuity TT&E events, including the event date, type, and participants. Documentation also includes test results, feedback forms, participant questionnaires, and other documents resulting from the event. Continuity TT&E documentation for the **[Organization Name]** is managed by the **[insert office/title]** and is found at **[insert location]**. Further, the **[Organization Name]** conducts a comprehensive debriefing or hotwash after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and recommend revisions to the organization's continuity plan. Documentation from TT&E hotwashes is found **[insert location]**.

SAMPLE: TT&E Documentation

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

Event	Event Type and Purpose	Date	Confirmation Initials or Signature
Continuity Facility Communications Check	Test and validate equipment to ensure internal and external interoperability and viability of communications systems	August 1, 2010	**[insert signature]**
Participants	**Office**	**Phone/Email**	
Jane Doe	Office of the Director	222-222-2222 jane.doe@agency.gov	/s/ Jane Doe
Jon Smith	Human Resources	111-111-1111 jon.smith@agency.gov	/s/ John Smith

The **[Organization Name]** has developed a CAP to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations. The **[Organization Name]** CAP incorporates evaluations, AARs, and lessons learned from a cycle of events into the development and implementation of its CAP. The

[Organization Name] CAP is maintained by the **[insert office/title]** and documentation is found at **[insert location]**.

SAMPLE: Corrective Action Program

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

Capability	Observation	Recommendation	Corrective Action	Capability Element	Primary Responsible Office	Organization POC	Start Date	End Date
Planning	Organization did not conduct a hotwash following March 20xx exercise.	Organization should conduct hotwashes in order to allow participants to provide suggestions on areas of strengths and weaknesses.	Exercise director will plan and execute hotwash after December 20xx exercise and incorporate comments into AAR.	Planning	**[Organization Name]**	Exercise Director, Jon Doe, (111) 111-1111	Mar. 7, 20xx	Dec. 1, 20xx

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

ANNEX I. RISK MANAGEMENT

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

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

1. Risk Assessment

Organizations should conduct and document a risk assessment, to include a Business Impact Analysis, against all hazards, conducted at least every five years. Per CGC1, Annex B, the assessment should include:

- *Identification of potential, known risk, and the likelihood of its occurrence, which has direct impact on the ability of the organization to support the continuation of Essential Functions;*
- *An assessment of the vulnerability of the organization and its Essential Functions to identified hazards;*
- *An assessment of the impact of the failure of the identified Essential Functions caused by identified hazards;*
- *Identification of appropriate mitigation and protective measures, to include measures necessary during a pandemic influenza;*
- *A cost-benefit analysis of implementing risk mitigation, prevention, protection, or control measures; and*
- *An operational plan to provide and implement selected mitigation, prevention, protection, or control measures, to include those necessary during a pandemic.*

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

2. Risk Mitigation Plans

Organizations should develop operational plans to provide and implement selected mitigation measures, to decrease the threat of and impact from identified risks, to include pandemic, using the following process from CGC 2, Annex E:

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

Such strategies might include the following:

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

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

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

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

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

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

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX J. GLOSSARY

The glossary should list key words and phrases used in the Continuity Plan that require explanation. An example of some key words and phrases that would be used in the Continuity Plan area listed below.

Activation – Once a continuity of operations plan has been implemented, whether in whole or in part, it is considered "activated."

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

All-Hazards – The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

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

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

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

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

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

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

Continuity of Operations – An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions and Primary Mission Essential

Functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Continuity Event – Any event that causes an agency to relocate its operations to an alternate or other continuity site to assure continuance of its essential functions.

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

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

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

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

Essential Functions – The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: National Essential Functions, Primary Mission Essential Functions, and Mission Essential Functions.

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

Interoperable Communications – Communications that provide the capability to perform essential functions, in conjunction with other organizations/entities, under all conditions.

Leadership – The senior decision makers who have been elected (e.g., the President, State governors) or designated to head a branch of government or other organization.

Memorandum of Agreement/Memorandum of Understanding – Written agreement between departments/agencies that require specific goods or services to be furnished or tasks to be accomplished by one organization in support of the other.

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

Orders of Succession – Provisions for the assumption by individuals of organization senior leadership positions during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Primary Operating Facility – The site of an organization's normal, day-to-day operations; the location where the employee usually goes to work.

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

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

Risk Assessment – The identification and assessment of hazards.

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

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

Testing, Training, and Exercises – Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity situation.

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

Essential Records – Electronic and hardcopy documents, references, and records that are needed to support essential functions during a continuity situation. The two basic categories of Essential Records are (1) emergency operating records and (2) rights and interests records.

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX K. AUTHORITIES AND REFERENCES

This annex should list the authorities and references used in this plan. Examples of authorities and references are provided below.

AUTHORITIES and REFERENCES:

- **[Enter title of organizational policy or directive here].**
- **[Enter title of organizational policy or directive here].**

1) **[Enter title of organizational policy or directive here].**
2) Directive 51/Homeland Security Presidential Directive 20, *National Continuity Policy*, dated May 9, 2007.
3) Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013.
4) Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (States, Territories, Tribes, and Local Government Jurisdictions),* dated September 2013.
5) FEMA Continuity of Operations Plan Template Instructions.
6) FEMA Continuity of Operations Plan Template.
7) FEMA Devolution Plan Template.
8) FEMA National Preparedness Directorate's Comprehensive Preparedness Guide 101, *Developing and Maintaining Emergency Operations Plans*, dated November 2010.
9) **[Enter title of organizational plan, guidance, etc.].**
10) **[Enter title of organizational plan, guidance, etc.].**

THIS PAGE INTENTIONALLY LEFT BLANK

ANNEX L. ACRONYMNS

The acronyms and abbreviations used in the organization's continuity plan should be listed and defined in this annex. Examples of acronyms are listed below.

AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CAP	Corrective Action Program
CGC	Continuity Guidance Circular
ERG	Emergency Relocation Group
IT	Information Technology
MEF	Mission Essential Function
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
STTEF	State, Territorial, and Tribal Essential Function
TT&E	Test, Training, and Exercise

THIS PAGE INTENTIONALLY LEFT BLANK

HAZARD SPECIFIC APPENDICES

The contents of hazard-specific appendices should focus on the special planning needs generated by a particular hazard. These appendices contain unique response details that apply to a single hazard. A key hazard-specific appendix is continuity operations during a pandemic influenza. Organizations should determine other specific hazards to address, if needed, based upon the results of the organization risk analysis.

ANNEX IMPLEMENTING INSTRUCTIONS

Implementing instructions should be included as attachments or referenced. Annex Implementing Instructions serve to provide additional information on sections presented in the continuity of operations plan. Sample text for this section is provided below.

- *Operational Checklists: A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task.*

- Emergency Calling Directory
- Emergency Relocation Team Checklist and Essential Functions Checklist
- Continuity Site Acquisition Checklist
- Emergency Operating Records and IT Checklist
- Emergency Equipment Checklist
- Delegations of Authority
- Orders of Succession
- Maps and directions to the continuity facility and seating chart of the facility

THIS PAGE INTENTIONALLY LEFT BLANK